



STATE OF WASHINGTON
LOCAL RECORDS COMMITTEE

Office of the State Auditor • Office of the Attorney General • Office of the State Archivist
PO Box 40238 • Olympia, Washington 98504-0238 • (360) 586-4900

December 15, 2011 – 10:00 a.m.
Archives Conference Room
1129 Washington St SE, Olympia, WA, 98504

AGENDA

I. ROUTINE ITEMS

- A. Call to Order
- B. Introduction of Guests
- C. Approval of Minutes for September 29, 2011
- D. Adoption of Today's Agenda

II. OLD BUSINESS/ACTION ITEMS

- A. *Public Utilities Records Retention Schedule Version 1.1*

III. NEW BUSINESS/ACTION ITEMS

- A. *Local Government Common Records Retention Schedule Version 2.2*

IV. OTHER BUSINESS

- A. Amendment of WAC 434.630.060 – Committee Meetings – Russell Wood
- B. 2012 Meeting Schedule – Russell Wood

V. WASHINGTON STATE ARCHIVES UPDATES

- A. Revision of Records Retention Schedules – Julie Woods
- B. Destruction after Digitization (DAD) – Russell Wood
- C. Announcements from the State Archivist – Jerry Handfield

VI. NEXT MEETING – To be determined.

VII. ADJOURNMENT

II. ROUTINE ITEMS

C. Minutes for September 29, 2011 Meeting



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PO Box 40238 • Olympia, Washington 98504-0238 • (360) 586-4900*

September 29, 2011 – 10:00 a.m.
State Archives Conference Room
1129 Washington St SE, Olympia, WA 98504

MEETING MINUTES

Members Present: Mark Rapozo (Chair) – State Auditor's Office, Cindy Evans – Attorney General's Office, Jerry Handfield – State Archivist.

Staff Present: Russell Wood – State Records Manager, Julie Woods – Local Government Records Management Specialist, Megan Shoemaker – Electronic Records Management Consultant, Alexander DeLuna – Administrative Intern, Angela Yoder – Administrative Assistant.

Guests Present: Aaren Purcell – Seattle Public Schools, Clayton Betz – Federal Way Public Schools.

Guests Present via videoconference: Jon Cohen – Energy Northwest; Marian Kellett – Energy Northwest

I. ROUTINE ITEMS

A. Call to Order

Mark Rapozo called the meeting to order at 10:00 a.m.

B. Introduction of Guests

C. Approval of Minutes for July 21, 2011

Motion to adopt the minutes as presented; Jerry Handfield, second by Evans.

Resolution: Motion carried

D. Adoption of September 29, 2011 Agenda

Motion to adopt the agenda as presented; Evans, second by Rapozo.

Resolution: Motion carried

II. OLD BUSINESS/ACTION ITEMS

A. Association of Washington Public Hospitals Response Letter

Jerry Handfield has responded to the Association of Washington Public Hospital's director Ben Lindekeugal, clarifying the Archives policy on confidential records. The letter was mailed to the Association and provided for the committee's reference. Jerry recognized Megan Shoemaker for all her hard work with the Public Hospital Schedule.

III. NEW BUSINESS/ACTION ITEMS

A. Public Utilities Records Retention Schedule Version 1.1 – Julie Woods

- i. **Nuclear utilities update** – Julie Woods provided the committee with the proposed changes to the Nuclear Utilities section of the Public Utilities Record Retention Schedule. Jon Cohen and Marian Kellett from Energy Northwest have been working with Archives Staff to consolidate 230 agency “unique” series into ten consolidated series. A crosswalk of changes is included for the committee’s reference. Standards and bulletins provided from the American Nuclear Standards Institute (ANSI), American Nuclear Society (ANS), and American Nuclear Insurers (ANI) reference the federal requirements for nuclear operations. Any Washington State Standard for Nuclear Utilities records retention must meet or exceed the requirements set forth in the national standards.

Energy Northwest’s John Cohen talked about reviewing all general and unique records retention schedules and found many requirements overlapped. The crosswalk was created to compare previously approved agency uniques with the *Local Government Common Records Retention Schedule (CORE)*, and new *Public Utilities Records Retention Schedule (UTILITIES)* schedule, and then create a section in the UTILITIES schedule to cover the remaining records. Energy Northwest was able to consolidate Quality Assurance Records into two separate series based on ANSI and ANI retention requirements; non-permanent 5-year retention, and Lifetime retention.

Motion: Move to table for more information and additional time for review; Handfield, Seconded by Evans with a friendly amendment *providing that if all questions were answered prior to the November meeting, a special meeting would be scheduled.*

B. School Districts and Educational Service Districts Records Retention Schedule Version 7.2

Julie Woods reminded the committee that in July 2010, CORE Version 2.1 included a reprieve for the school districts from using the CORE permission slip series in order to review the issue of school permission slips as it affects school districts. *The School District and Educational Service Districts Records Retention Schedule Version 7.2* proposes resolution to the issue. As proposed, any incident during a field trip will be covered by the accident/incident *CORE* series, with a minimum retention of “3 years after the student turns 18”. The new School District Permission Slip record series has a minimum retention of 6 years, but is more comprehensive and fills existing gaps. A letter to the committee from the Washington Association of School Business Officials (WASBO) supports the 6-year retention of these records if there is no incident.

In response to a request from the Office of the State Auditor, student absence and attendance records have been revised to reflect the current audit cycle. A revision guide is included to show the complete summary of changes.

Julie Woods would like to thank the following WASBO members who helped review and revise this draft: Eleanor Toews and Aaren Purcell, Seattle Public Schools; Sue Warnke, Evergreen Public Schools; Ena Schlossmacher, Vancouver Public Schools; Linda Ellis, Edmonds School District; Janet Helbig, North Thurston Public Schools; Darlene Fuller, Olympia School District; Vicki Smith, Peninsula School District; Joanne Marifjern, Puget Sound ESD; Cindy Sands, Washington State School Directors Association.

Motion: Move to approve as presented; Handfield, seconded by Evans.

Resolution: Motion carried

In response to the State Auditor's four-year audit schedule, Julie Woods will be reviewing all the School District Schedule record series that have an audit-based three-year retention period.

IV. WASHINGTON STATE ARCHIVES UPDATES

A. Revision of Records Retention Schedules – Julie Woods

- i. **CORE Asset Management and Critical Updates** – The Asset Management Reference Group met on September 17th to discuss environmental inspection records. The *CORE Version 2.2* draft (to be submitted in November) will include only critical updates. Records management questions come in daily regarding recordings, transcripts, hearings, minutes, banking, etc., and CORE 2.2 will attempt to resolve these issues. Due to the complexity of the asset management section, that revision will be proposed later. The next Reference Group meeting will be in mid-October. The *CORE 2.2* draft will be sent to the listserv group for review in the next few weeks.

B. Destruction after Digitization (DAD) Applications – Russell Wood

There are still a few Local Government DAD applications under review.

C. Announcements from the State Archivist – Jerry Handfield

- **Budget Cuts** – Jerry brought in a Tenino 25-cent cedar shingle, made in 1932 during the Great Depression. The archives budget will be significantly reduced by seven figures, which means reduction in services and staffing. There are still meetings going on regarding this issue. Overhead reductions just are not enough. This could affect retention schedules, our ability to keep up with changes, and slow down request turnaround at the Digital Archives (DA).
- **2011-2013 Local Records Grant Program** – Proposed cutting the grant awards by 50% as an option to reduce the budget.
- **Blue Monday** – An employee emergency required the Deputy State Archivist to travel to Ellensburg to manage the office on the same day a small leak occurred causing flooding inside the Record Center. The records involved were prisoner's packets from Department of Corrections.
- **Archives Month** – The theme for this year is Fairs and Festivals.
- **Washington Coalition for Open Government (WCOG)** – The Archivist presented at WCOG forums across the state. In Longview, Nirvana bassist Krist Novoselic, Attorney General Ombudsman Tim Ford, and State Auditor Brian Sonntag attended. Jerry also spoke in the Tri Cities area for the Statewide Genealogy Group. He will be in Pullman next week and then Vancouver for Archives Oversight Committee meeting on October 3rd.
- **California Law** – California legislature passed a law that keeps any elected official's records from being accessible online or viewed by the public. This includes, Auditor, Governor, Attorney General and the Secretary of State.

D. Local Government Records Management Listserv – Julie Woods

The local government listserv now has 1,917 subscribers, which reflects 55 new members since the last meeting.

V. NEXT MEETING – November 17, 2011, 10 a.m.

VI. ADJOURNMENT

The chair adjourned the meeting at 11:20 a.m.

CERTIFICATION OF MEETING MINUTES OF THE LOCAL RECORDS COMMITTEE:

I, Mark Rapozo, Chair of Local Records Committee, certify that the above is a true and correct transcript of the minutes of a public meeting of the Local Records Committee of the State of Washington held in the State Archives Building conference room on September 29, 2011, and that the public meeting was duly called and held in all respects in accordance with the laws of the State of Washington, and that a quorum was present.

Chair Signature

Date

II. OLD BUSINESS/ACTION ITEMS

A. Public Utilities Records Retention Schedule (Version 1.1)

- Summary of Changes between September draft and December draft
- Other Jurisdictions
 - ✓ Department of Energy Retention Schedule
 - ✓ Nebraska Public Power District
 - ✓ Washington State University – Nuclear Radiation Center

Public Utilities Records Retention Schedule v.1.1 (December 2011)

Summary of Changes between September 2011 Draft and December 2011 Draft

9.2 Corrective Action Reports – Quality Assurance Records (Nonpermanent) (DAN UT2011-156) p.37

- Removed “Surveillance activities” from description;
- Changed retention from “6 years after disposal of asset (Non-Archival)” to “6 years after matter resolved (Non-Archival)”.

9.5 Nuclear Operations – Quality Assurance Records (Nonpermanent) (DAN UT2011-159) p.39

- Qualified “Reportable occurrence records” in the description by adding:
“where a copy of the records has been sent to the United States Nuclear Regulatory Commission (U.S.NRC) for permanent retention in accordance with National Archives and Records Administration (NARA) Control Number N1-431-87-1 or N1-431-00-19”

9.8 Radiological/Contamination Monitoring (DAN UT2011-162) p.41

- Changed retention from “100 years after end of calendar year (Archival – Appraisal Required)” to “100 years after end of calendar year or 50 years after plant decommissioned, whichever is later (Archival – Appraisal Required)”

9.10 Security Monitoring (Nuclear Facilities) – Incident (DAN UT2011-164) p.43

- Changed Archival designation from “Archival (Appraisal Required)” to “Archival (Permanent Retention)”

Glossary

- Corrected definition for ANSI – American National Standards Institute p.44
- Add definitions for:
 - Lifetime Quality Assurance Records p.46
 - Nonpermanent Quality Assurance Records p.46
 - U.S.NRC – United State Nuclear Regulatory Commission p.48

Public Utilities Records Retention Schedule v.1.1 (December 2011)

Records Retention Schedules from Other Jurisdictions

While there are many nuclear-powered utilities across the United States, it seems that few are in public ownership and therefore there are few records retention schedules available for comparison.

Attached are copies of relevant records retention schedules for nuclear facilities for the following agencies:

- Washington State University
- Nebraska Public Power District
- Department of Energy Retention Schedule

The proposed records series in the *Public Utilities Records Retention Schedule v.1.1 (December 2011)* at least meet or exceed these attached retention schedules.

DEPARTMENT OF ENERGY
ADMINISTRATIVE RECORDS SCHEDULE 18:
SECURITY, EMERGENCY PLANNING,
AND SAFETY RECORDS
September 2010
Revision 2

Protection program records include the various files created by the Department to control and protect safeguards and security interests (e.g., classified information, sensitive unclassified information, special nuclear materials, nuclear weapons, other Government property); to protect Departmental facilities from unauthorized entry, sabotage, or loss; to ensure the adequacy of protective measures at privately-owned plants given security cognizance by the Department; and to determine eligibility for access authorization of individuals employed by DOE or its contractors.

Emergency planning records include correspondence, administrative and case files, and test documentation.

Safety records include those that demonstrate the capability for, and the performance of, safe operations.

Retirement of non-current records to inactive storage is authorized. (N1-434-98-21, entire introduction)

CLASSIFIED INFORMATION RECORDS

Records pertaining to measures taken to protect classified information from unauthorized disclosure in accordance with Executive Order, statutory, regulatory, or DOE requirements.

1. Classified Documents Administrative Correspondence Files.

Correspondence files pertaining to the administration of security classification/declassification, control, and accounting for classified documents. Included are records that document policy, programs, and procedures for the classification/declassification program, including information recorded by personnel who are trained to identify, classify, or declassify documents for sensitive and classified information.

- a. Records which document the policy, standards and procedures for the administration of DOE's classification and declassification program. (N1-434-98-21, item 1a)

- (1) Program and policy guides, classification manuals, and documents used as guides in determining classification, including DOE action and information papers concerning classification policy.

Permanent. Cut off when superseded. Transfer to NARA 25 years after cutoff.

- (2) Records documenting the development of classification policy, including policy studies.

Cut off when superseded. Destroy 50 years after cutoff.

- (3) Procedures that implement DOE policy and guides

Cut off at end of the fiscal year. Destroy 10 years after cutoff.

- b. Records documenting classification and declassification review actions taken on the basis of established policy, directives, regulations and guides. (N1-434-98-21, item 1b)

- (1) Review actions which deviate from established policy and set a precedent for future action, reflect unusual sensitivity, are of historical interest, or are the subject of litigation.

- (a) Headquarters record set.

Permanent. Cutoff at the close of the fiscal year. Transfer to NARA 25 years after cutoff.

- (b) All other offices.

Cut off after superseded or when no longer needed for reference.

Destroy 50 years after cutoff.

- (2) Review actions that do not deviate from established policy or set a precedent for future action, do not reflect unusual sensitivity, are not of particular historical interest, and are not the subject of litigation.

Cut off at the end of the fiscal year. Destroy 6 years after cutoff.

- (3) Logbooks and correspondence which record notes, comments, actions taken and decisions made, or other information which documents the review process.

Cut off at the end of the fiscal year. Destroy 6 years after cutoff.

- (4) Declassification records including change notices, review notices, correspondence, or similar documents including documents that give authority to void, cancel and remove markings from records.

Cut off at the end of the fiscal year. Destroy 10 years after cutoff.

- c. Correspondence files pertaining to the administration of security classification, control and accounting for classified documents, and control of sensitive documents, not covered elsewhere in this section.

Cut off at the end of the fiscal year. Destroy 2 years after cutoff.
(GRS 18, item 1)

1.1. Information Security Oversight Office Report Files. (N1-434-98-21, item 1.1)

- a. Reports and correspondence regarding classification reviews submitted to the cognizant Program Office by Field Elements and then compiled and sent to the Information Security Oversight Office (ISOO).

Cut off at the end of the fiscal year. Destroy 4 years after cutoff.

- b. Reports maintained by all other offices.

Cut off at the end of the fiscal year. Destroy 3 years after cutoff.

2. Document Receipt Files. (GRS 18, item 2)

Records documenting the receipt and issuance of classified documents.

Destroy when 2 years old.

3. Destruction Certificate Files. (GRS 18, item 3)

Certificates relating to the destruction of classified documents.

Destroy when 2 years old.

4. Classified Document Inventory Files. (GRS 18, item 4, see memo dated 6/16/95, from the Departmental Records Officer to records managers.)

Forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but exclusive of classified document receipts and destruction certificates and documents relating to Top Secret material covered elsewhere in this schedule.

Destroy when 2 years old.

5. Top Secret Account and Control Files. (GRS 18, item 5)

- a. Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents.

Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed.

- b. Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data.

Destroy when related document is downgraded, transferred, or destroyed.

[NOTE: Master files and data bases created to supplement or replace the records covered by item 5 are not authorized for disposal under the GRS. Such files must be scheduled on a Standard Form (SF) 115.]

6. Access Request Files. (GRS 18, item 6)

Requests and authorizations for individuals to have access to classified files.

Destroy 2 years after authorization expires.

7. Classified Document Container Security Files. (GRS 18, item 7)

- a. Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers.

Destroy when superseded by a new form or list, or upon turn in of container.

- b. Forms placed on safes, cabinets, or vaults containing security classified documents that record opening, closing, and routine checking of the security of the container, such as locking doors and windows; and activating alarms. Included are such forms as SF 701, Activity Security Checklist, and SF 702, Security Container Check Sheet.

Destroy 3 months following the last entry on the form (see note).

[Note: Forms involved in investigations will be retained until completion of the investigation.]

PROTECTION PROGRAM RECORDS

Records relating to measures taken for the protection of Government-owned facilities and contractor operated facilities given security cognizance from unauthorized entry, sabotage, or loss.

8. Protection Program Administrative Records. (GRS 18, Item 8)

Correspondence files relating to administration and operation of the facilities security and protective services programs, not covered elsewhere in this schedule.

Cut off at the end of the fiscal year. Destroy 2 years after cutoff.

8.1 Operations Security. (N1-434-98-21, item 8.1)

- a. Files which document the policy, standards, and procedures for the administration of DOE's Operations Security (OPSEC) programs.
 - (1) Program and policy guides, OPSEC manuals, and documents used as guides in administering OPSEC programs. Includes DOE action and information papers concerning OPSEC policy.

Permanent. Cut off when superseded. Transfer to NARA 25 years after cutoff.
 - (2) Files documenting the development of OPSEC policy, includes policy studies.

Cut off when superseded. Destroy 50 years after cutoff.
 - (3) Procedures implementing DOE policy and guides.

Cut off at the end of the fiscal year. Destroy 10 years after cutoff.
- b. Records relative to the management and/or operation of agency and contractor OPSEC Programs including correspondence, plans, meeting minutes, audits, and other similar records.

Cut off at the end of the fiscal year. Destroy 5 years after cutoff.

8.2 Computer Information Protection Plan/Contingency Plan. (N1-434-98-21, item 8.2)

Documentation dealing with computer protection elements for a system or application that includes, but is not limited to, descriptions of hardware, software, and information protection functions, contingency and disaster recovery planning, risk assessment, certifications, and computer security questionnaires and checklists.

Destroy when superseded by new specifications, plans, or determinations, or when the system or application to which it applies is decommissioned, unless the system or application is permanent, then transfer to NARA with the system or application.

8.3 Technical Surveillance Countermeasures Files. (N1-434-98-21, item 8.3)

a. Threat Files

Files contain reports of known or suspected technical and nontechnical security information, methodology, technologies used, suspected individual(s) or groups, reports of actions directed against U.S. Government and commercial interest and/or personnel.

Review annually. Destroy when superseded or obsolete.

b. Hazard and Penetration Files

Files provide general and specific design information on known or suspected surveillance devices, electronic anomalies, methodology, and historical technical data. These files are used for technical surveillance threat reference.

Review every 2 years. Destroy when no longer needed.

8.4 Security Alarm and Access Control System Files. (N1-434-98-21, item 8.4)

a. System Manufacturers Documentation

Files include manufacturer's operations and technical manuals for the equipment installed as part of the Security Alarm System. These records include information on individual components, for both the security alarm systems and the electronic access control systems.

Destroy when current system is upgraded or replaced.

b. Systems Operations Files

Files include on-site configuration files for systems operations. Includes information on individual components, systems operations, and how the systems are currently installed for both the security alarm systems and the electronic access control system.

Destroy when current system is upgraded or replaced.

c. Open Storage Approval Records

Files contain on-site records of areas approved for the open storage of classified information. Includes information concerning the motion detection and alarm devices within specific areas.

Destroy when superseded.

d. Activity Journals

These records include all of the user activity and alarm activity for all portions of the alarm and access control system. User activity includes operations of Day/Night mode access of alarmed rooms, and access/exit through card reader controlled doors or access points. Alarm activity includes alarm devices, line supervision, and administrative alarms as they occur. Files consist of System activity journals containing the on-site records for alarm system activity.

Cut off at the end of the fiscal year. Destroy 3 years after cutoff.

e. Maintenance Records

These records contain all activity concerning preventive and corrective maintenance performed on the alarm system and the sub-components. Files consist of maintenance requests, test reports, schedules, notification letters and maintenance activity journals containing the on-site records for alarm system maintenance activity.

Cut off at the end of the fiscal year. Destroy 3 years after cutoff.

8.5. Master Safeguards and Security Agreements/Security Plans . (N1-434-98-21, item 8.5)

Records establish the baseline safeguards and security protection strategy and programs for a facility and are an agreement between the cognizant Program Office and other HQ and Field Elements as to the acceptable level of risk to a facility and any measures employed to mitigate unacceptable risk. The Master Safeguards and Security Agreement, Site Safeguards and Security Plan, or Site

Security Plan also provide a historical perspective on facility operations and configuration. In addition, Master Safeguards and Security Agreement, Site Safeguards and Security Plan, or Site Security Plan provide short and long-term planning profiles for safeguards and security operations at a facility.

Destroy 10 years after termination of the facility as a security interest.

8.6 Physical Security Files. (N1-434-98-21, item 8.6)

Detailed security measures for the physical protection of nuclear material, or for the physical protection and location of equipment and facilities vital to safety. The files include physical security plans, drawings of the physical protection system, alarm system details, and safeguards procedures.

- a. Facilities subject to licensing (Nuclear Regulatory Commission or Environmental Protection Agency)

- (1) If license is granted

Retain until the termination of the license. At termination of license, apply the disposition cited in 8.6b.

- (2) If license is not granted.

Retain until the determination is made not to license the facility, then apply the disposition cited in 8.6.b.

- b. Facilities not subject to licensing.

Destroy when superseded or obsolete, or 5 years after facility closes, whichever is sooner.

8.7 Foreign Ownership, Control, or Influence (FOCI) Files. (N1-434-98-21, item 8.7)

- a. Unsuccessful bidder files containing their representations as to their ownership and any foreign control or influence, and other information pertaining to foreign ownership, control or influence and whether it may pose an undue risk to national security that has been provided by the unsuccessful bidder or otherwise gathered.

Cut off at the end of the fiscal year. Destroy 2 years after cutoff.

- b. Successful bidder (contractor) files containing original and subsequent representations as to their ownership and any foreign control or influence, and other information pertaining to foreign ownership, control or influence

and whether it may pose an undue risk to national security that has been provided by the contractor or otherwise gathered. Files relating to contract eligibility determinations when foreign ownership, control or influence issues are present.

Cut off 5 years after determination date. Destroy 5 years after cutoff.

8.8 Security Personnel Training Records. (N1-434-98-21, item 8.8)

Records of Federal and contractor security personnel pertaining to firearms training, qualification, and requalification. See ADM 1, item 29, for other security personnel training records.

- a. For Federal employees.

Cut off at the end of the fiscal year. Destroy one year after termination of the individual as a member of the protective force.

- b. For contractor employees.

Cut off annually. Destroy one year after termination of the individual as a member of the protective force.

9. Survey and Inspection Files (Government-Owned Facilities). (N1-434-98-21, item 9)

Reports of surveys, inspections, and self-assessments of DOE-owned facilities conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to protect information and facilities against sabotage and unauthorized entry.

Cut off at the close of the fiscal year. Destroy 75 years after discontinuance of facility.

10. Survey and Inspection Files (Privately-Owned Facilities). (N1-434-98-21, item 10)

Files include survey, inspection, and self-assessment reports, facility information, and correspondence.

Place in an inactive file upon facility termination. Cut off inactive file at the end of the fiscal year. Destroy 75 years after cutoff.

11. Investigative Files. (GRS 18, item 11)

EPI Investigative files accumulating from investigations of fires, explosions, and accidents, consisting of retained copies of reports and related documents when the

original reports are submitted for review and filing in other agencies or organizational elements, and reports and related papers concerning **occurrences of such a minor nature that they are settled locally without referral to other DOE elements**. Not included here are records related to occurrences (see item 11.1, below), misuse of Government property (see item 11.2, below), or incidents of security concern (see item 11.3, below).

Cut off at the close of the fiscal year. Destroy when 2 years old.

11.1 Occurrence Reporting Records.

Records relating to occurrences as defined by the Assistant Secretary for Environment, Safety and Health. (Includes other types of reporting required to be treated as equivalent to, or to use the occurrences reporting system.)

a. Report files maintained by the responsible Program Office.

(1) Records on occurrences which were of widespread public and congressional interest.

Permanent. Cut off at the end of the fiscal year in which the case was closed. Transfer to NARA 25 years after cutoff.
(NC-326-75-2)

(2) Files on all other occurrences.

Cut off at the end of the fiscal year in which the case was closed.
Destroy 80 years after cutoff. (NC-326-75-2)

EPI b. Report files maintained by all other offices.

Cut off at the end of the fiscal year in which the case was closed. Destroy 15 years after cutoff. (NC-326-75-2)

EPI c. Correspondence files of organizational units responsible for facility safety program, consisting of reports, statistics, memoranda and correspondence relative to traffic and property damage accidents, including records and statistics relative to summaries of industrial personal injury accidents, (exclusive of cases involving personal injuries which are retained permanently).

Destroy when 10 years old. (II-NN1-1023(2))

d. Records of reports of routine safety inspections, including evidence of action taken.

Destroy when 1 year old. (II-NN1-319(6))

- EPI e. Reports, statistics, and correspondence relative to traffic and property damage accidents, including records relative to summaries of industrial personal injury accidents, exclusive of cases involving personal injury.

Destroy when 10 years old. (II-NNA-1023(3))

- f. Prescriptions for safety glasses.

Destroy when 6 months old. (II-NNA-409(25))

- g. Radioactive Waste Disposal or Unplanned Deposition Records.
[NC1-430-76-9(6)]

- (1) Regulations governing radioactive waste shipments and burials, including DOE orders, Federal regulations and guidelines, and other pertinent standards, guides, and procedures.

Permanent. Offer to National Archives when no longer needed.

- (2) Records which indicate type of waste (solid, liquid, or gaseous), degree of radioactivity; and for solid waste: date of burial, volume buried, activity level, and storage location.

Permanent. Offer to National Archives when no longer needed.

- (3) Miscellaneous worksheets, checklists, or other data sheets from which pertinent data has been transcribed to item (2) above.

Destroy when purpose is served or when 1 year old, whichever is earlier.

- (4) Unplanned deposition records (spills or leaks) or radioactivity.

Permanent. Offer to National Archives when no longer needed.

- (5) Records of radioactive gaseous wastes discharged to atmosphere and radioactive liquid wastes discharged to surface ground or water.

Permanent. Offer to National Archives when no longer needed.

- (6) Miscellaneous waste disposal records including transfers from operating building or between tanks, boiloff rates, and intank

solidification information provided pertinent data have been transcribed to records which are retained.

Destroy when 1 year old.

11.2 Misuse of Government Property. (N1-434-98-21, item 11.2)

Records, correspondence, and related working papers which document the misuse and abuse of government property, equipment, vehicles, or systems while in the custody of government or contractor employees. Records may include infractions of Federal, State, or local laws or ordinances levied against government or contractor employees. See item 11.1 for occurrences as defined by the Assistant Secretary for Environment, Safety, and Health.

- a. Records maintained by DOE elements

Cut off at the end of the fiscal year. Destroy 5 years after cutoff.

- b. Records maintained by DOE Contractors.

Cutoff at the end of the fiscal year. Destroy 2 years after cutoff.

11.3 Incident of Security Concern Inquiry/Investigation Files. (N1-434-98-21, item 11.3)

Records not covered elsewhere in this Schedule (e.g., in 11.1 above) that pertain to inquiries or investigations into incidents of security concern (e.g., suspected infractions and violations, loss, compromise, or unauthorized disclosure of classified information; unaccounted for classified matter), and to the corrective measures recommended and/or taken.

Cut off upon termination of inquiry or investigation and case is closed. Destroy 5 years after cutoff.

11.4 Fire Unit Records.

- a. Alarm, investigation, and incident reports relating to various types of fire alarms and investigations of fires, including source data concerning fires in which fatalities may result or when arson is suspected.

Destroy when 10 years old. (NC-430-76-2(3))

- b. Fire extinguisher history records and fire hose records.

Destroy 1 year after removal of equipment from service.
(II-NNA-1858(1B))

- c. Fire extinguisher inspection records showing description of extinguishers, recharging data, and names of inspectors.

Destroy when 1 year old. (II-NNA-2939)
 - d. Fire station operating logs.

Destroy when 6 years old. (II-NNA-1858(1C))
 - e. Ambulance service reports.

Destroy when 3 years old. (II-NNA-1858(1E))
 - f. Fire alarm system tests, radio communications reports on inside and outside fire drills, daily force reports, and building inspectors.

Destroy when 1 year old. (II-NNA-1858(1F))
 - g. Auxiliary brigade attendance and training records.

Destroy when 1 year old. (II-NNA-1858(1G))
- 12. Property Pass Files.** (GRS 18, item 12)
- Property pass files authorizing removal of property or materials.
- Destroy 3 months after expiration or revocation.
- 13. Guard (Security Police Officer) Assignment Files.** (GRS 18, item 13)
- Files relating to guard/security police officer assignments and strength.
- a. Ledger records

Destroy 3 years after final entry.
 - b. Requests, analyses, reports, change notices, and other papers relating to post assignments and strength requirements.

Cut off at the end of the fiscal year. Destroy 2 years after cutoff.
- 14. Police Function Files.**
- Files relating to exercise of police functions.

- a. Ledger records of cars ticketed, and outside police contacts.
Destroy 3 years after final entry. (GRS 18, item 14a)
- b. Ledger records of arrest.
Destroy 7 years after final entry. (N1-434-98-21, item 14a)
- c. Reports, statements of witnesses, warning notices, and other documents relating to arrest, commitments, and traffic violations.
Cut off at the end of the fiscal year. Destroy 7 years after cutoff. (N1-434-98-21, item 14b)
- d. Reports on contact of outside police with building occupants.
Cut off at end of the fiscal year. Destroy 1 year after cutoff. (GRS 18, item 14c)

15. Personal Property Accountability Files. (GRS 18, item 15)

Files relating to accountability for personal property lost or stolen.

- a. Ledger files.
Cut off at the end of the fiscal year in which the case was closed. Destroy 3 years after cutoff.
- b. Reports, loss statements, receipts and other documents relating to lost and found articles.
Cut off at the end of the fiscal year. Destroy when 1 year old.

16. Key Accountability Files. (GRS 18, item 16)

Files relating to accountability for keys issued.

- a. For areas under maximum security.
Destroy 3 years after key turn-in.
- b. For other areas.
Destroy 6 months after turn in of key.

17. Visitor Control Files. (GRS 18, item 17)

Registers or logs used to record names of outside contractors, service personnel, visitors, employees admitted to areas, and reports on automobiles and passengers.

- a. For areas under maximum security.

Destroy 5 years after final entry or 5 years after date of document, as appropriate.

- b. For other areas.

Destroy 2 years after final entry or 2 years after date of document, as appropriate.

17.1 Visitor Access Approval Files. (N1-434-98-21, item 17.1)

Correspondence and forms created to document that visitors are authorized access to classified and/or unclassified sensitive information and/or security controlled areas. Files contain data for each visit to a DOE facility, consisting of access approvals together with related correspondence.

- a. Files retained by sites (incoming visitor control) with potential for exposure to hazardous material.

Cut off at the end of the fiscal year. Destroy 75 years after cutoff.

- b. Files retained by sites (incoming visitor control) without potential for exposure to hazardous material.

Cut off at the end of the fiscal year. Destroy 5 years after cutoff.

- c. Files retained by requesting office (outgoing visitor control).

Cut off at the end of the fiscal year. Destroy 5 years after cutoff.

- d. Duplicate copies used to notify other on-site offices of the intended visit or when essential information is transferred from DOE F 5631.20 to another record media or electronic system.

Cut off at the end of the fiscal year. Destroy 1 year after cutoff.

18. Facilities Checks Files. (GRS 18, item 18)

Files relating to periodic security force facility checks.

- a. Data sheets, door slip summaries, check sheets, and guard reports on security violations (except copies in files of agency security offices referenced in item 24).

Destroy when 1 year old.

- b. Reports of routine after-hours security checks which either do not reflect security violations, or for which the information contained therein is documented in the files referenced in item 24.

Destroy when 1 month old.

19. Guard (Security) Service Control Files. (GRS 18, item 19)

- EPI
- a. Control center key or code records, emergency call cards, and building record and employee identification cards.

Destroy when superseded or obsolete.

- b. Round reports, service reports on interruptions and tests, and punch clock dial sheets.

Destroy when 1 year old.

- c. Automatic machine patrol charts and registers of patrol and alarm services.

Destroy when 1 year old.

- d. Arms distribution sheets, charge records, and receipts.

Destroy 3 months after return of arms.

20. Logs and Registers . (GRS 18, item 20)

Guard (Security) logs and registers not covered elsewhere in this schedule.

- a. Central security office master logs.

Destroy 2 years after final entry.

- b. Individual security post logs of occurrences entered in master logs.

Destroy 1 year after final entry.

PERSONNEL SECURITY RECORDS

Records accumulating from investigations of personnel conducted under statutory, Presidential, or DOE directive requirements.

21. Security Clearance/Access Authorization Administrative Subject files.
(N1-434-98-21, item 21)

Files maintained by individual security offices for purposes of managing operations of personnel security. Files include, but are not limited to, forms, lists, and correspondence documenting the type of clearance/access authorization and date it was granted and subsequent actions were taken; briefing and debriefing statements; and lists of individuals granted access authorizations by assigned numbers.

- a. Correspondence granting access authorizations not maintained in official personnel files.

Cut off at the end of the fiscal year. Destroy 10 years after cutoff,

- b. Briefing and debriefing statements including related correspondence.

Cut off at the end of the fiscal year. Destroy 5 years after cutoff.

- c. Termination statements, cards, or correspondence not maintained in official personnel file.

Cut off at the end of the fiscal year. Destroy 10 years after cutoff.

- d. Lists identifying employee by assigned number used for indexing or reference.

Cut off at the end of the fiscal year. Destroy when related records are destroyed or when no longer needed for reference.

- e. Reports related to personnel security issues.

Cut off at the end of the fiscal year. Destroy 2 years after cutoff.

- f. Outgoing transfer record tracking files for personnel security files sent to other DOE facilities.

Cut off at the end of the fiscal year. Destroy 3 years after cutoff.

21.1. Security Clearance/Access Authorization Administrative Subject Files Policy
(N1-434-98-21, item 21.1)

Files which document the official policy, standards, and procedures for the administration of DOE's personnel access authorization program.

- a. Program and policy guides, access authorization manuals, and documents used as guides in administering the security program. Includes Doe action and information papers concerning access authorization policy.

Permanent. Cut off when superseded. Transfer to NARA 25 years after cutoff.

- b. Files documenting the development of access authorization policy, includes policy studies.

Cut off when superseded. Destroy 20 years after cutoff.

- c. Procedures implementing DOE access authorization policy and guides.

Cut off at the end of the fiscal year. Destroy 10 years after cutoff.

21.2 Administration and Operation. (GRS 18 item 21)

Correspondence, reports, and other records relating to administration and operation of the personnel security program, not covered elsewhere in this schedule.

Cut off at the end of the fiscal year. Destroy 2 years after cutoff.

21.3 Pre-Employment Background Investigation. (N1-434-98-21, item 21.3)

Pre-employment background files include records of investigations for DOE and contractor employees and consultants, subcontractors, and their employees and consultants, and other others seeking employment or who otherwise require an access authorization. The files are used to determine the eligibility of granting access authorizations and may include the following letters and completed forms

for each individual being considered: drug screen consent, credit reports, authorization for release of information, request to process, negative drug screen results, letters generated from personnel security requesting information on applicants police, driving, academic, previous employment, military, and personal references, subcontractor employment application, security acknowledgment, medical records including employee assistance program, and employment eligibility verification.

For legal purposes, if an applicant is not approved for hire it is necessary to retain the pre-employment files to permit reconstruction or validation of actions taken in the event of appeal or legal action. (If applicant is hired, the pre-employment investigation file is transferred to the person's personnel security file).

- a. For those approved but not hired.

Cut off at the end of the fiscal year. Destroy 2 years after cutoff or date of background investigation.

- b. For those disapproved for hire.

Cut off at the end of the fiscal year. Destroy 5 years after cutoff or date of preemployment background investigation.

22. Security Clearance/Access Authorization Case Records . (N1-434-03-01, item 22)

Personnel security and administrative review files created under Atomic Energy Act, Executive Order, Code of Federal Regulations, and DOE directive requirements and procedures, and related indices maintained by DOE personnel security offices at DOE Headquarters and Field Elements.

- a. Personnel Security Files document the processing of individuals for DOE access authorizations (security clearances), regardless of whether access authorizations are granted. These files may include copies of the following: pre-employment investigations; requests and justifications for access authorizations, security forms, reports of background investigation(s); personnel security interview transcripts and/or summaries (including the audio cassettes), case evaluation sheets, security incident/infracton report forms; correspondence with the individuals, the individuals' employers, and other agencies; security badge information, medication evaluations, security termination statements, and other material relevant to the access authorization process. (SF-312s are related to "access" and should not be maintained in the individual's Security File.)

Cut off file upon termination of authorization processing, when access authorization is terminated, or when the contract relationship expires.

Retire inactive records 5 years after cutoff. Destroy not later than 10 years after date the individual's authorization is terminated or upon notification of death of the individual, which ever is sooner.

- b. Administrative Review Files document the processing of individuals under Title 10, Code of Federal Regulations, Part 710 (10 CFR 710) for denial or revocation of their access authorizations, regardless of whether final determinations are rendered. Each file may include a copy of the following: request/approval for administrative review processing, DOE Notification Letter and other correspondence to and from the individual and/or representative; correspondence to and from the DOE Hearing Officer, hearing transcript and exhibits; case consolidation memorandum; and other material relevant to the administrative review process.

Cut off file upon termination of review or when access authorization is determined. Retire inactive records 5 years after cutoff. Destroy not later than 10 years after date the final decision is made on the authorization or upon notification of death of the individual, whichever is sooner.

- c. Indices consisting of file index cards are maintained alphabetically in "active" and "inactive" files as back-up to the records maintained on the Central Personnel Clearance Index.

Destroy when no longer needed.

- d. Other indices related to Personnel Security Records.

Destroy with the related file(s) or when no longer needed.

23. Security Clearance/Access Authorization Status Files. (N1-434-98-21, item 23)

Lists or rosters showing the current access authorization status of individuals,

Cut off and place in inactive file when superseded or obsolete. Destroy 75 years after cutoff.

24. Security Violations Files. (GRS 18, item 24)

Copies of "Report of Security Incident/Infraction," or similar forms or reports that are placed in Personnel Security files are handled in accordance with item 22, above. Other documentation relating to infractions or violations is handled in accordance with items 11.1 and 11.3, above.

25. Classified Information Nondisclosure Agreements. (GRS 18, Item 25)

Copies of nondisclosure agreements, such as SF 312, Classified Information Nondisclosure Agreement, signed by civilian and military personnel with access to information that is classified pursuant to a Federal statute or Executive Order. These forms should be maintained separately from personnel access authorization files. Agreements for civilian employees working for elements of the intelligence community must be maintained separately from the official personnel folder. For all other persons, these forms may be filed in the individual's official military personnel folder (for uniformed military personnel) or on the right side of the official personnel folder (for civilian employees), (or contractor's equivalent file).

- a. If maintained separately from the individual's official personnel folder (or contractor's equivalent).

Destroy when 70 years old.

- b. If maintained in the individual's official personnel folder.

Apply the disposition for the official personnel folder.

EMERGENCY PLANNING RECORDS

Records accumulating from the formulation and implementation of plans, such as evacuation plans, for protection of life and property during emergency conditions.

26. Emergency Planning Administrative Correspondence Files. (GRS 18, item 26)

Correspondence files relating to administration and operation of the emergency planning program, not covered elsewhere in this schedule.

Destroy when 2 years old.

26.1 Emergency Planning Program Correspondence (N1-434-98-21, item 26.1)

Records that document the policy, program, standards, and procedures pertaining to the administration of the emergency planning program.

- a. Program and policy guides, information papers, operational manuals, and documents used as guides for determining appropriate DOE action. Unless issued as a DOE directive, a record copy of Departmental emergency plans.

Permanent. Cut off when superseded. Transfer to NARA 25 years after cutoff.

- b. Emergency planning reports of operations tests, consisting of consolidated or comprehensive reports reflecting Department-wide results of tests conducted under emergency plans.

Permanent. Cut off when superseded. Transfer to NARA 25 years after cutoff.

- c. Files documenting the development of policy, including policy studies.

Cut off when superseded. Destroy 10 years after cutoff.

- d. Procedures and activities implementing DOE policy and guides.

Cut off at end of the fiscal year. Destroy 6 years after cutoff.

27. Emergency Planning Case Files. (GRS 18, item 27)

Case files accumulated by offices responsible for the preparation and issuance of plans and directives, consisting of a copy of each plan or directive issued, with related background documents, EXCLUDING one record copy of each plan or directive issued, see item 26.1a, above.

Destroy 3 years after issuance of a new plan or directive.

28. Emergency Operations Tests Files. (GRS 18, item 28)

Files accumulating from tests conducted under DOE emergency plans, such as instructions to members participating in test, staffing assignments, messages, tests of communications and facilities, and reports EXCLUDING consolidated and comprehensive reports, see item 26.1b, above.

Destroy when 3 years old.

29. National Defense Executive Reserve (NDER) Case Files. (GRS 18, item 29)

Case files for NDER reservists or applicants, maintained by agencies with major mobilization responsibilities in national security emergencies, including qualifications statements, other personnel and administrative reports, skills inventory, training data, and other records relating to administration of the NDER program.

- a. Case files on reservists.

Place in inactive file upon termination. Cut off inactive file at the end of the fiscal year.

Destroy 5 years after cutoff.

- b. Case files on individuals whose applications are rejected or withdrawn.

Place in inactive file. Cut off inactive file at the end of the fiscal year.

Destroy 5 years after cutoff.

30. Through 34. Reserved

SAFETY RECORDS

35. Records that Demonstrate the Capability for Safe Operation. (N1-434-98-21, item 35.1)

Records include the activities involved in the planning, design, manufacture, construction, installation, test, and operation of equipment, structures, plants, and systems, any of which are or will be engaged in, or part of, "operations." Included are records of initial siting and geological aspects.

- EPI a. Records of Individuals. Authorizing documents, training certificates, procedures, and other records of a similar or a related nature that demonstrate that individuals have the capability for engaging in, performing in or otherwise conducting safe operations. Operations may involve the design, construction, installation, test, handling, manufacture, use, packaging, shipping, control, operation, and disposition of items. Items may either be used, or planned for use in relation to, or with, other items. Items include machinery, equipment, structures, plants, materials, spent fuel, waste, and systems.

Destroy in accordance with recordkeeping requirements in Title 10 of the U.S. Code of Regulations for sites subject to Nuclear Regulatory Commission (NRC) regulations. Other sites comply with the requirements for recordkeeping in DOE Orders and DOE schedules and their items; other than this item. In the absence of these requirements, apply the following: When the employee currently or in the future will no longer perform an activity for which documentation of qualifications to perform that activity is required. This includes that documentation that the employee has successfully performed the activity if such documentation establishes the qualification to again perform the activity, or a related activity. (Note: Sites complying with NRC's requirements; First, cite the NRC requirement and Second, cite this item as authority.)

Excluded from this disposition authority are the records required to document employees' individual case files that reflect the performance of

all assigned tasks (hazardous and non-hazardous) for those employees who may be assigned tasks that involve hazards.

- EPI b. Records of “Items”. Authorizing documents, procedures, and other records that demonstrate that control systems, materials control systems, and items that will be used in operations, have the capability for safe use. Items as used here include sites, facilities, structures, plants, materials, spent fuel, waste, machinery, equipment, and systems, or discrete parts thereof.

Destroy in accordance with recordkeeping requirements in Title 10 of the U.S. Code of Regulations for sites subject to Nuclear Regulatory Commission regulations. Other sites comply with the requirements for recordkeeping in DOE Orders and DOE schedules and their items, other than this item. In the absence of these requirements, apply the following: Destroy 5 years after the date of completion of either a task or performance of an activity or action for which the documentation will have no future applicability for demonstrating an item’s capability for safe operation. Additionally, destroy either upon an item’s permanent removal from service, or upon permanent termination of the item’s use, unless the documentation will be applicable to a replacement item. (Note: Sites complying with NRC’s requirements, First, cite the NRC requirement and Second, cite this item as authority.)

36. Records that Verify the Performance of Safe Operations . (N1-434-98-21,item 36.1)

Records which verify that an activity was performed in accordance with applicable requirements for safe operations, but need not be retained for the working life of the individual or for the life of the item, or discrete part thereof.

Items as used here include sites, facilities, structures, plans, materials, machinery, equipment, and systems. (Excluded are nuclear materials accountability records.)

Destroy in accordance with recordkeeping requirements in Title 10 of the U.S. Code of Regulations for sites subject to Nuclear Regulatory Commission regulations. Other sites comply with the requirements for recordkeeping in Doe orders and Doe schedules and their items, other than this item. In the absence of these requirements, apply the following: Cut off the records at the end of the fiscal year, and destroy them 5 years after the date of the completion of the task or the completion of the performance of the activity or the action. This includes records of an individual’s performance unless these records either reflect “qualifications” or performance where hazardous activities may be performed.

See item 35a, above. Additionally, destroy upon the item’s permanent removal

from service, or upon the permanent termination of the item's activity. (Note: Sites complying with NRC's requirements, First, cite the NRC requirement and Second, cite this item as authority.)

37. Safe Work Permits. (N1-434-89-10, Item 2)

Safe work permits are used to designate the approval for employees to work on a potentially hazardous job or in a potentially hazardous area. They contain the job description, instructions to workers, the protective clothing and equipment required. They include the name of the workers, approval signatures of responsible supervision, and the date(s) the work is done.

Destroy 75 years after the date of the permit.

38. Through 41. Reserved

COMMUNICATIONS SECURITY RECORDS

42. Communications Security Records (COMSEC) Records.

COMSEC records consisting of forms, reports, and correspondence recording or relating to the accountability, transfer, inventory, receipt, and destruction of COMSEC materials.

a. Records of Departmental COMSEC custodian

Destroy when 5 years old. (NN-167-141)

b. COMSEC card files

Retain until COMSEC account is closed. (N1-434-98-21, item 42.1c)

c. Key card and key list usage reports.

Destroy when 1 month old, provided destruction report has been prepared and sent to DOE COMSEC custodian. (N1-434-98-21)

d. Other COMSEC accounting records.

Destroy when 1 year old, provided reconciliation of COMSEC material has been completed. (NN-167-141)

43. Through 47. Reserved

NUCLEAR MATERIALS CONTROL, AND ACCOUNTABILITY RECORDS

ADM 18

Rev 2

September 2010

The remaining items in this schedule cover special material accountability records which pertain to documentation involved in the allocation and transfer of nuclear material. Transfer of special nuclear material, DOE-owned source material, and certain other DOE-owned material transferred within the United States or between the United States and foreign entities is controlled. The records covered are material transfer, reporting, inspections, requests for material, allotments, and allocations.

48. Hazardous Material. (NC1-430-76-7)

EPI Radioactive Material Packing and Shipping Records. Shipping packaging records including Certificates of Compliance, Safety Analysis Reports for Packaging (SARP), evaluations of SARPs, licenses, amendments to licenses, and quality assurance records documenting packaging design, fabrication, maintenance, and use in compliance with established safety and engineering standards.

Destroy 5 years after Certificate of Compliance has terminated, unless information is received indicating that renewed use is definitely anticipated.

49. Requests for Materials. (II-NNA-1735(2))

EPI Requests for special, source, and fissionable materials: files maintained by accountability stations to authorize and control the use of these materials under the allotment system, and in accounting for transfers.

Cut off at the end of the fiscal year. Destroy 4 years after cutoff.

50. Materials Allotment Files

Source and Special (SS) Nuclear Materials. Records documenting requests for annual allotments and special allotments of source and special nuclear materials and actions taken by higher authority in concurring with or amending estimated requirements, and in establishing allotments.

a. Reserved.

EPI b. Files of operations offices pertaining to each organization requesting source and special nuclear materials; and consolidated requests for allotments, together with related correspondence.

Cut off at the end of the fiscal year. Destroy 2 years after cutoff.
(II-NNA-1735 [1B])

51. Materials Allocation Files.

Special research and reactor materials allocation files consisting of records concerning estimated requirements of beryllium, zirconium, hafnium, heavy water and graphite.

- EPI a. Files of offices with authority to make allocations, together with related old correspondence.

Cut off at the end of the fiscal year. Destroy 3 years after cutoff.
(II-NNA-1735[3A])
- EPI b. Files of operations offices consisting of estimates submitted by contractors projecting special material needs over a 3-year period.

Cut off at the end of the fiscal year. Destroy 3 years after cutoff.
(N1-434-98-21, Item 51b)
- EPI c. Files of approved allocations in area offices which handle the supplying of special materials.

Cut off at the end of the fiscal year. Destroy 3 years after cutoff.
(N1-434-98-21, Item 51c)

52. Accountability Reports.

Source and special nuclear materials balance and accountability reports files consisting of periodic reports and related documents compiled and submitted by contractors, lessees, and DOE Field Offices, and including the files of the staff division responsible for the administration of the SS Material Accountability System.

- a. Report files of the staff division administering the accountability system.
[NN-167-78(1A)]
- EPI (1) June 30, and December 31, reports.

Destroy when 25 years old.
- (2) All others

Destroy when 5 years old.
- b. Report files of Materials Leasing Office, including related correspondence. (NN-166-78)
- EPI (1) June 30, and December 31, reports submitted by lessees.

Destroy when 25 years old.

(2) All Others

Destroy when 5 years old

- c. Report files of Field Offices, including related correspondence. (N1-434-98-21, Item 52c)

Destroy when 4 years old.

53. Reports of Apparent Losses. (NC-430-76-3[5])

Reports of apparent losses of source or nuclear material (losses as defined by DOE directives).

- a. Cases which are of widespread public, governmental, or congressional interest subject to review every 10 years to verify that reports should remain in that category.

Permanent. Offer to the National Archives when 25 years old.

- EPI b. Others, subject to review every 10 years to ascertain that report still represents an apparent loss.

Destroy when 25 years old.

54. Reports of Shipper-Receiver Measurement Differences. (II NNA-1735(7))

Reports of shipper-receiver measurement differences pertaining to transfers of SS material between installations under the same operations office and under different operations offices, and containing conclusions, recommendations, and resolutions of the measurement differences.

- a. Copies forwarded to staff office administering the SS accountability system.

Destroy when 3 years old.

- b. Copies filed in operations offices and in shipping and receiving installations.

Destroy when 2 years old.

55. SS Transfer Journals. (II NNA-1735(4))

EPI Accountability stations maintain SS transfer journals as a continuing control record of contractors' inventories, to which are posted receipts and shipments of SS materials.

Destroy 3 years after date of last entry.

56. SS Material Transfer Files. (N1-434-98-21, Item 56)

EPI Transfer files consist of records used to account for SS material transfers from one unit to another within production plants or facilities, or between such plants (inter and intra plant transfers)

Destroy after 1 year, providing DOE audit has been completed.

57. SS Material Shipping Form Files. (II NN-3225)

Files consist of DOE/NRC Form 741s, or equivalent Forms, used in the transfer of source and special nuclear materials, or other material controlled by the SS materials accountability system.

EPI a. Copies filed in DOE offices.

Destroy when 3 years old.

EPI b. Copies filed in shipping and receiving contractor installations.

Destroy after audit by DOE accountability survey team.

Schedule 115

NEBRASKA PUBLIC POWER DISTRICT

July 24, 2009

Nebraska Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508
(402) 471-2559

**REQUEST FOR APPROVAL
OF RECORDS RETENTION
AND DISPOSITION SCHEDULE**

SCHEDULE

115

AGENCY, BOARD OR COMMISSION

NEBRASKA PUBLIC POWER DISTRICT

DIVISION, BUREAU OR OTHER UNIT

**TO: STATE RECORDS ADMINISTRATOR
STATE OF NEBRASKA**

Supersedes Edition of March 2, 2004

PART I – AGENCY STATEMENT:

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE

Ronald D. Arche

TITLE

President & CEO

DATE

7-8-09

PART II – APPROVAL OF STATE ARCHIVES:

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.

SIGNATURE

Doreen Kauting

DATE

7-14-2009

PART III – APPROVAL OF AUDITOR OF PUBLIC ACCOUNTS:

The attached schedule has been reviewed, all audit material has been properly identified, and this schedule is approved as submitted.

SIGNATURE

Dawn Hayppin

DATE

7-22-09

PART IV – APPROVAL OF STATE RECORDS ADMINISTRATOR:

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

SIGNATURE

John A. Lave

DATE

July 24, 2009

RMA 01005D

INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guideline for storing and disposing of agency records, ***regardless of the media on which they reside***, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. This schedule was written specifically for records unique to your office and the Local Agencies General Records Schedule #24 contains those records common to most local government agencies. These retention schedules, which are approved by the State Records Administrator, provide your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

DISPOSING OF RECORDS

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over General Records Schedule #24 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods.
3. For records requiring a review or transfer to the NE State Historical Society (State Archives), your agency is required to contact the State Archives and negotiate the transfer. Additionally, once the records are accessioned to their collection, they become the possession of the State Archives. Please contact their office by calling (402) 471-4783.
4. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. If you wish, you may receive this form electronically by contacting the Records Management Division. This report establishes that the destruction was performed in your normal course of business.

Please remember to retain the blank form for future use.

NON-SCHEDULED RECORDS

Contact a Records Management Specialist in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

SCHEDULE UPDATE

It is the responsibility of each agency to periodically update their schedule. A Records Management Specialist in Records Management can assist you with the schedule update, which may involve adding new records series and making revisions to existing items. Keeping your schedule current will ensure you have the ongoing authority to discard records when their useful life has ended.

QUESTIONS

If you have any questions about these procedures, please contact your agency Records Officer or your Records Management Specialist in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or microfilming records, scanning records, etc.

**Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508-2294
402-471-2559**

Nebraska Public Power District Records Retention Schedule

Retention Code	Retention Period	Retention Code Title	Description
A10	3	Internal Services / Facilities Management	Records related to provision of services and goods as internal support by company personnel and records related to asset management and the movement or tracking of company property (non-plant). Includes office materials and supplies orders, postal operations and shipping notices, and forms management. Also includes inventory, movement, and use logs of vehicles, equipment, tools, materials and supplies, maintenance and operation of equipment and systems, and vehicle records. See G20 for accounting acquisition and sale records; L20 for service contracts; L22 for leases, deeds, titles warranties, and land records.
A11	ACT + 1	Planning / Forecasting	Records related to future planning and forecasting of business activities. Includes departmental plans and forecasts for future operations and programs, such as annual plans, five- and ten-year strategic plans and forecasts, future facility requirements, growth forecasts. See F20 for budgets; O21 for load forecasting and planning. Active ceases when the record is no longer referenced or in use.
A12	ACT	Contract / Project Administration	Records related to the administration of work orders and contracts. These records are not subject to any retention requirement specified in the contract. Original work product is filed in the appropriate record series. Active ceases when the record is no longer referenced or in use.
A21	ACT+5	Construction and Maintenance	Records related to the construction, design, maintenance, and repair of company office and telecommunications facilities. See N30 and P10 for nuclear and non-nuclear plant construction and maintenance. Active ceases when construction or maintenance activity is discontinued.
A30	ACT+10	Policies / Procedures	Records documenting company approved methods or processes for performing activities to ensure uniformity and compliance with company and legal requirements. Includes department and corporate procedures, directives, standards and manuals. See retention groups starting with N for nuclear plant procedures. Active ceases when the policy or procedure is superseded or no longer referenced or in use. Records are subject to review by the State Archivist before disposal.
A31	ACT+7	Internal Audits	Records related to internal review and testing of compliance with company policies and procedures, reviews of financial and operating results, reviews as requested by management, and remedial action. These audits are not required by contract, agency, or statute. See F70 for financial audits; L51 for tax audits; N30 for nuclear plant audits. Active ceases when the audit or review is completed or closed.
A32	ACT+10	Policies / Procedures Compliance	Records that are not required by law or contract and that demonstrate compliance with and consistent enforcement of internal policies and procedures. Includes NPPD records destruction notices/certificates, and destruction holds/releases. Active ceases when the record is no longer referenced or in use. Records are subject to review by the State Archivist before disposal.

Retention Code	Retention Period	Retention Code Title	Description
A40	ACT+3	Security Systems	Records related to security systems for protection of employees, equipment, facilities, and information. Includes security investigations, security clearances, security badges, and master keys and pass card lists. See H24 for individual employee investigations; A50 for computer security. Active ceases when records are superseded or are no longer referenced or in use.
A50	ACT+3	Information Systems / Hardware	Records related to selection, administration, and maintenance of computer hardware, electronic communications, optical disks, etc. Includes records related to hardware performance and overall management of systems and security records for electronic information. See A30 for policies/procedures; A51 for software documentation and backup. Active ceases after a change occurs or when the items are no longer in use.
A51	ACT	Information Systems / Software	Records related to software used by NPPD, including source code, technical data and information, specifications, requirements, system documentation, operating instructions, related users manuals and backups needed for disaster recovery or regulatory purposes. See A30 for policies/procedures; A50 for other information system records. Active ceases when the information is no longer needed for current operation of the application or for disaster recovery or regulatory requirement.
A60	10	General / Management Information	Annual statistical reports provided to management to inform them of company activities and for internal administration or operating purposes. Also includes records and information of a general nature that do not fit into other categories. See A61 for quarterly, periodic, and other statistics and reports that are preliminary to these annual or summary reports.
A61	2	Periodic / Miscellaneous Reports and Information	Miscellaneous reports and other records which need only be reviewed for a short period - a day, week, or quarter. Includes periodic reports for financial, operating, and other statistical and status reporting. See A60 for annual statistical reports.
A62	SUP	Periodic Replacement Records	Records replaced periodically by newer, updated records. Includes government regulations, directories, mailing lists, abbreviation lists, vendor brochures, software, and supplies inventory listings. Records are retained until superseded by more current records.
A63	ACT	Reference	Records and information of a reference nature only, including general information on competitors, and publications in the public domain, such as professional proceedings. Active ceases when record is no longer referenced or in use.

Retention Code	Retention Period	Retention Code Title	Description
A70	ACT	Non-Company Records	Items in inventory, draft/working copies of final documents, and other items that are not a company record. Includes letters of transmittal that add nothing to the information transmitted, shorthand notes or sound recordings that have been transcribed, draft versions of electronic or paper documents that have been finalized, stocks of blank forms or tapes and publications or reproduced materials preserved for supply purposes, commercially published books, magazines, catalogs, and vendor catalogs. Active ceases when the item is superseded or is no longer referenced or in use.
E10	IND	Reports	Records related to environmental analysis, assessments, evaluations, compliance, risk, environmental audits, etc., that are not required by a government agency. See E40 for reports related to toxic substances and hazardous materials.
E20	ACT+5	Air and Water Quality	Records related to air and water quality environmental programs, including monitoring, emission estimates, air modeling studies, ground water studies, source testing and analyses, etc. Active is while record is still referenced or in use.
E30	IND	Solid Waste Management	Records related to the disposal of non-hazardous solid waste at NPPD operated properties.
E40	IND	Toxic Substances / Hazardous Materials	Records related to environmental testing, plans, and management with long term implications. Includes control and management of hazardous or toxic materials, environmental assessments of properties, underground storage tanks, waste generation, storage, treatment, release, transportation and disposal, spill prevention and control, accidents and restorative actions, and radiological sampling. Covers substances such as used oil, asbestos, PCB's. See E41 for monitoring and testing of the workplace environment; H60 for related training; H71 for hazardous exposure medical records.
E41	IND	Monitoring and Testing (Safety)	Records related to sampling, measurements, monitoring, and analyses of noise, coal dust, radiation, and other contaminants in the workplace. See L50 for NRC reporting requirements; H60 for records on related training; H71 for exposure medical records.
F10	10	Banking	Records related to business transactions with any banking institution. Includes deposits, checks and cancelled checks, check registers, cash management, short-term investments, bank statements, reconciliations, drafts, automatic deposit plans, wire transfers, revenue and operating funds. See G13 for payroll banking.
F20	ACT+10	Budgets / Cost Analysis	Records related to internal financial planning and financial management. Includes corporate and department final capital, expense, operating and other budgets, and information related to financial and economic analysis, pricing and costing. Active ceases when the plan/budget/analysis time frame has been completed.
F30	ACT+6	Investments	Records related to the tracking and management of investments in stocks, bonds, mutual funds, etc., including retirement trusts and other benefits plans, such as deferred compensation and savings plans. Active ceases with termination or expiration of investment.

Retention Code	Retention Period	Retention Code Title	Description
F40	ACT+6	Financing / Bonds	Records related to issuance of debt and equity papers in the form of bonds, stock, or other public securities. Includes bond certificates, records of compliance with bond provisions, and notes receivable. Active ceases with redemption or cancellation of bond, note, or other debt instrument.
F50	ACT+6	Loans / Credit Lines	Records related to the application and management of loans through the company. Includes reports to lenders, debt information, work papers, write-offs, write-downs, losses. Active ceases when the record is no longer referenced or in use.
F60	ACT+3	Collections / Bad Debts	Records related to receiving of payments for services and to monitoring, collection, and writing off of bad debts. Includes authorizations and supporting details of uncollectible accounts. Active ceases with discontinuation of the bad debt and collection activity.
F70	LOC+10	Financial Statements and External Audits	Financial statements, reports, and external audits of those financial statements. Includes financial statements such as annual/quarterly reports submitted to government agencies, final audits, and audit workpapers related to determining the accuracy of financial statements. Working papers, monthly, and year-to-date statements are superseded by year end final statements. See A31 for internal audits.
F80	3	Purchasing	Records related to request for quotes or bids, bid review, purchase requisitions, purchase order registers, historical purchasing data, receiving, inspection of merchandise, proof of receipt, etc. See G10 for accounts payable; F81 for purchase orders; L20 or L22 for contracts and agreements.
F81	ACT+6	Purchase Orders	Records related to actual purchases or commitments to purchase and authorizations for expenditures. Active ceases at the end of the time period covered by the purchase order.
F82	6	Materials and Supplies	Records related to tracking of materials and supplies, including stores activity records.
F90	ACT+10	Rates	Records related to the preparation, adjustment, calculation, and presentation of new or revised utility rates. Active ceases when the rates are no longer in effect.
G10	10	Accounts Payable / Receivable	Records and reports related to payment of financial obligations and to receipt of revenues. Includes bills, invoices, authorization for payment; costs for right-of-ways, licenses, registrations, and permits; employee expenses; credit card charges and payments; petty cash; rental and lease payments and income; tax payments and refunds; billings for materials and services; customer payments and deposits, wholesale billing and vendor reports, and revenues summaries. See G11 for general journals/ledgers; G12 for payroll; G20 for capital property.
G11	10	Non-Plant Ledgers / Journals	Records used to transfer charges between accounts and for summarizing general account information, including cumulative detail for each year of general ledger, journal vouchers and journal entries, and subsidiary ledgers. See F70 for financial statements; G12 for plant accounting ledgers.

Retention Code	Retention Period	Retention Code Title	Description
G12	50	Plant Ledgers / Journals	Records used to transfer charges between accounts and for summarizing plant account information, including cumulative detail for each year of general ledger, journal vouchers and journal entries, and subsidiary ledgers. See G11 for non-plant ledgers/journals.
G13	10	Payroll	Records related to payment of financial obligations associated with wages and deductions, benefit and pension deductions, garnishments, and other adjustments to payroll checks, payroll tax returns, payroll reports, wage and tax statements, Form W-2, and Form W-4. Includes time sheets and other time records.
G20	ACT+10	Capital Property Acquisitions and Sales	Records related to payment, tracking, and receipt of financial obligations associated with capital expenditures and improvements and depreciation. Includes purchases of land, buildings, office, and computer equipment and furnishings, and motor vehicles. Also includes materials transfers, work orders, additions, or improvements to building or equipment, and property reporting. See F80 for purchasing records. Active ceases with disposition of the property or equipment. Records may be transferred with the asset if sold.
G30	ACT	Accounting Management Information	Records and reports related to managing and determining accuracy of accounting information. Includes register changes, data edits, error reports, etc. See G11 and G12 for final journals and ledgers. Active ceases when the records have safely been replaced by more current records or by manipulations of the existing data, or when they have been summarized elsewhere.
H10	ACT+7	Benefits Plans and Compliance	Records related to company sponsored benefit plans. Includes health and life insurance, pension, disability, medical, vacation and sick benefits, leave of absence plans, educational assistance, and savings plans. Also includes benefit plan government reporting. See G10 for premium payments processing. Active ceases with expiration or cancellation of plan.
H11	ACT+6	Benefit Plan Contributions / Benefits Provided	Records related to contributions to and participation in company sponsored benefit plans. Includes insurance claims, pension contributions and benefits, disability benefits, savings plans, beneficiary elections, and insurance enrollment and change forms. Active ceases with activity completion, claim settlement, or when current summary of employee eligibility for benefits is superseded.
H20	ACT+3	Employee Statistics and Summaries	Records related to employees that are summary records (not identifiable by individual employee), such as EEO statistics, management reports, or monthly statistics on hiring, promotions, wages, etc. Active ceases when the record is no longer referenced or in use.

Retention Code	Retention Period	Retention Code Title	Description
H21	ACT+5	Employee Records / Short Term	Detail, individual employee records, including hiring, promotion, performance evaluations, work schedules and attendance records, general training, disciplinary action, etc. Also includes records related to employee complaints and grievances, including investigative information and test results. See H22 for term of employment records; L40 for formal complaints and claims filed with courts or agencies outside NPPD. Active ceases with employment termination or closure of complaint or grievance.
H22	IND	Employee Records / Term of Employment Historical	Individual employee records summarizing term of employment, individual job descriptions, salary and wage schedules, test scores, technical (nuclear and non-nuclear) training, safety and environmental training, resumes and applications, and termination records. See H31 for standard job descriptions.
H23	ACT+3	Employee Immigration	Records related to identification and verification of employee eligibility to work in the U.S. Includes I-9 forms, which must be maintained in a file separate from all other employee records. Active ceases with employment termination.
H24	ACT+5	Employee Investigations	Records related to background and incident investigations. See H21 for employee complaints and grievances. Active ceases with employment termination.
H30	ACT+3	Salary Administration	Reports related to the process of determination and monitoring of salary and wage rates, including position evaluation files, wage and salary surveys, etc. See G13 for payroll and deductions accounting records. Active ceases when the record is no longer referenced or in use.
H31	IND	Job Descriptions	Records of job descriptions and other documentation used to determine salary classifications. Includes benchmark information, position evaluation files, etc.
H40	ACT+5	Recruitment and Staffing	Records related to employee recruitment and selection and staffing matters, such as leaves of absence and overtime. Includes promotions and transfers, job vacancy requisitions, advertising, applications, promotion, transfer considerations, employee selection, and ADA records. See H21 for individual employee records of those employees hired. Active ceases when the record is no longer referenced or in use.
H60	IND	Environment / Safety / Technical Training	Records related to environmental, safety, and technical (both nuclear and non-nuclear) employee training. Includes safety training for compliance with OSHA and MSHA standards on heavy equipment, respirators, underground tunnels, drivers training, hazard communication, and hearing conservation. See H22 for individual training records. Active ceases with termination of the course or program, or when the training is no longer required as a matter of governmental regulation.

Retention Code	Retention Period	Retention Code Title	Description
H61	ACT+3	Personal Development Training Programs	Records related to development and operation of company sponsored training programs and seminars for personal and professional development. Includes training course materials, curricula, training manuals, audiovisuals, and course schedules. See H21 for individual training records. Active ceases when the record is no longer referenced or in use.
H62	ACT+10	Safety and Emergency Plans	Records documenting safety and emergency plans, such as fire prevention plans, disaster preparedness and recovery plans, chemical accident plans and procedures, and other emergency plans related to general health and safety. See N21 for nuclear plant security plans. Active ceases when plan is superseded or is obsolete.
H70	ACT+6	Medical / Accident / Illness Records	Medical records related to employee and contractor treatment, examinations, history, etc. Includes accident and illness records and copies of worker compensation and legal claims. See L40 for original claims files; H71 for medical records related to hazardous exposure. Active ceases with employment termination.
H71	IND	Hazardous Exposure Medical Records	Medical records related to exposure or possible exposure to hazardous or toxic substances. Includes baseline testing, historical medical records, and monitoring records. See E41 for monitoring of work areas for contaminants.
H72	ACT+6	Fitness for Duty	Records related to security and employment suitability, qualifications and training of nuclear plant employees. Includes security training plan, contract and security personnel medical examinations, physical fitness records, qualifications, training certifications, weapons qualifications, background and incident investigations, felony sheets, and drug test results. See H60 for training materials. Active ceases with employment termination or when requalification is superseded.
H80	ACT+1	OSHA / Safety Compliance	Records related to OSHA and other safety requirements, including OSHA logbook and safety audits. See H60 for specific MSHA requirements. Active ceases when the record is no longer referenced or in use.
H81	IND	Material Safety Data Sheets (MSDS)	Material Safety Data Sheets for products used by NPPD.
L10	IND	Business Organization / Trademarks	Records related to the creation and formal proceedings of the company and its subsidiaries. Includes Director orientation records and records related to the protection of intellectual properties and rights through the preparation, filing, and maintenance of appropriate registrations.
L20	ACT+6	Contracts / Agreements – General	Records related to rights and obligations under contracts, leases, and other agreements between the company and outside parties. Includes contracts for sales and purchases of products and services, customer agreements, and consultant contracts. Active ceases with expiration or cancellation of the contract or agreement.

Retention Code	Retention Period	Retention Code Title	Description
L22	IND	Contracts / Agreements – Long-Term	Records related to long term rights and obligations under contracts, leases, and other agreements between NPPD and outside parties that may have long-term implications. Includes agreements for treatment, disposal, or other handling of toxic, hazardous or similar materials for which legal liability may be imposed upon the generator of such materials for an indefinite period. Includes franchise agreements, government contracts, purchase, sale, or lease of real property, land records, leases, deeds, titles, quit claim deeds, incorporated warranties, information regarding transfers or assignment of rights in real property, real property improvements, or demolition on real property. Also includes agreements that are one of a series of agreements between parties or that are part of a larger, connected relationship between the parties.
L30	ACT+6	Insurance Policies	Records related to insurance coverage affecting the company, such as property insurance. Includes policies, amendments, riders, billings, proof of payment. See H10 for employee medical and life insurance policies; L31 for liability insurance policies. Active ceases with termination or expiration of policy.
L31	IND	Future Liability Insurance Policies	Records related to insurance coverage for product liability, nuclear plant, exposure to hazardous substances, or other problems that may manifest long after a policy terminates. Includes environmental liability and nuclear liability insurance, general, worker compensation, umbrella, excess, and wrap-around insurance policies regarding liability. See F40 for insurance bonds.
L40	ACT+10	Claims and Litigation	Records related to claims, litigation, government investigation, judgments, and other activities of a legal nature for or against the company. Includes pleadings, discovery, attorney work-products, transcripts, exhibits, etc. Also includes District claims for unpaid electric service bills or other liabilities and customer bankruptcy. Active ceases with settlement and/or final court order. A court-ordered retention is used if appropriate.
L50	ACT+10	Compliance (Statutory / Regulatory)	Records related to the preparation of documents required by law or order, external audits required by government agencies, and evidence of compliance not covered elsewhere. Includes reporting and filings with agencies such as EIA, DOE, election reporting, FERC, FAA, worker compensation, EEOC, water issues, etc. See F70 for financial statements and audits filed with agencies; L51 for tax returns. Active ceases when the record is no longer referenced or in use.
L51	ACT+7	Tax Returns / Audits	Tax and information returns and related records for taxes paid, tax audits, payment receipts, and supporting documentation. Includes sales, use, and property tax returns. Active ceases when the record is no longer referenced or in use.
L52	ACT+6	Agency / Court Orders	Records related to court or regulatory agency orders issued to company, including garnishments, subpoenas for company documents, law enforcement subpoenas, and tax orders. Active ceases with final response to order.

Retention Code	Retention Period	Retention Code Title	Description
L53	ACT+6	Licenses / Permits	Licenses and permits, permit applications and support materials, and other records related to same that are required to conduct business, collect taxes, etc. Includes environmental operating permits and licenses, radioactive materials/equipment licensing, nuclear licensing, license amendments, FERC operating license and relicensing records, lease permitting, use permits, and commercial motor vehicle tester certification. Active ceases with expiration of the lease or permit.
L54	IND	Public Records Requests and Responses	Records of requests made under the Public Records Act and NPPD response.
L55	LOA+6	Telecommunications Facilities	Records related to radio and other telecommunications facilities. Includes tower lighting, transmitter and frequency measurements, radio and site alarm system checklists, radio maintenance records, communications facilities/service request, and other project records. Active ceases with disposition of the asset.
L61	IND	Legal Projects and Opinions	Records related to determining legal requirements, providing legal advice within the District, and records resulting from legal projects that document the specific legal advice provided or that preserve the detailed research and analysis on specific legal topics or issues.
M10	10	Market Profiles and Research	Records related to existing and potential markets and to market research.
M20	6	Promotion and Advertising	Records related to promotion and advertising of NPPD and its products and services to potential and existing customers. Includes customer visits and tours.
M30	ACT+6	Customer Records	Records related to existing or past individual customers, including copies of customer contracts, complaints, and services provided, such as medical monitoring equipment. See L40 for delinquent customer claims. Active ceases with discontinuation of services to the customer.
M31	6	Customer Billing	Records related to billings for retail and wholesale customers. See G10 for account receivable processing; L20 or L22 for original contacts and agreements; L40 for delinquent customer claims.
M40	ACT+3	Proposals / Bids (Unsuccessful)	Records related to NPPD's unsuccessful proposals and bids to potential customers. Active ceases when the record is no longer referenced or in use.
N10	3	Short Term Records	Records related to nuclear plant facilities and operations that have retention requirements of three (3) years or less. This retention group was created to consolidate a variety of ANSI N 45.2.9 record retention requirements. Corresponding and related record series are coded to this retention group. See E20 for air and water quality testing.
N11	SUP+2	Test Instrumentation and Calibration	Records documenting calibration and inspection of test instruments. Records are retained for two years after they are superseded.

Retention Code	Retention Period	Retention Code Title	Description
N20	6	Intermediate Term Records	Records related to nuclear plant facilities and operations that have 5 or 6 year retention requirements. This retention group was created to consolidate a variety of ANSI N 45.2.9 record retention requirements. Corresponding and related record series are coded to this retention group.
N21	IND	Security	Records related to controlled access to nuclear plant property, including security reviews and the support materials for determining access authorizations and denials, security plans, emergency planning, waste storage plan, etc. See A40 for lists of authorized individuals, logs, etc.; H72 for personnel qualifications.
N30	LOP+11	Plant Operations / Life-of-Plant Records	Records related to nuclear plant operations and power generation, including performance, quality assurance program, testing. See H62 for safety and emergency plans; N21 for nuclear plant security plan; P10 for operations records not considered to be life-of-plant that relate to physical properties of the plant and plant radiation records. Active ceases with plant closure. Records are subject to review by the State Archivist before disposal.
O10	ACT+6	Power Purchases and Sales	Records related to the sale and purchase of power. Includes load records, purchases, budgets, etc. Active ceases with date of purchase or sale transaction.
O20	LOA+6	Transmission and Distribution	Records related to the distribution of power and design, development, construction and maintenance of power distribution systems, such as substations, transmission lines, and subtransmission lines. Active ceases with disposition of the asset.
O21	ACT+10	Products / Services Planning / Forecasting	Records related to planning and forecasting of power production needs, including load forecasting, cost studies, etc. Active ceases when the record is no longer referenced or in use.
O30	IND	Water	Records related to the management and sales of water for irrigation.
P10	LOA+10	Design / Engineering, Construction and Maintenance	Records related to the design and engineering, construction, and maintenance of both nuclear and non-nuclear power plant and distribution systems facilities and equipment. Includes engineering, project files, engineering studies, design change packages, and engineering work packages. See G12 for plant ledgers; G20 for non-plant capital acquisition records. Active ceases with life of the asset (equipment, system, or plant). Records may be transferred with the asset if sold. Records are subject to review by the State Archivist before disposal.
P20	LOA+6	Fossil Operations	Records related to production of electricity, including outages, performance, quality control, testing, etc. Active ceases with life of asset (equipment, system, or plant.)

Retention Code	Retention Period	Retention Code Title	Description
P30	ACT+6	Non-Nuclear Fuel	Records related to acquisition, management, and use of fuels for non-nuclear power plants. Includes freight bills, purchases of diesel fuel, and coal and fuel shipment records. Active ceases when the record is no longer referenced or in use.
P40	IND	Decommissioning / Retirement	Records related to plant retirement or decommissioning work in progress. Includes ledgers, work orders, and supplemental records. Active ceases with completion of plant retirement or decommissioning process.
X10	3	Community Relations	Records related to participation in or promotion of company activities through community and civic organizations and associations. Includes charitable contributions requests and replies.
X20	ACT+5	Government Relations	Records related to monitoring government activities, proposed laws, and political action committees. Includes interpretations, comments, testimony, or other input regarding bills pending in the state legislature or proposed administrative regulations by state (Nebraska) regulatory authorities. Active ceases when the issue or legislation is no longer pending.
X30	5	Industry / Professional Relations	Records related to industry and professional associations and groups, including meetings, directories, conference materials, studies, reports, etc. Includes NUMARC (Nuclear Management and Resources Council) and INPO (Institute of Nuclear Power Operations.)
X40	5	Publicity and Publications	Records related to the promotion of the company's image and activities, including press releases, publications, photographs, speeches, presentations, recordings, and video tapes produced by or for NPPD. Also includes awards presented to the company. See X60 for publicity of significant events appropriate for long term, historical preservation; M20 for advertising and marketing records. Records are subject to review by the State Archivist before disposal.
X60	LOC	Incorporation / Historical Records	Records determined to possess significant long-term historical value such as organization charts, annual reports, awards, publicity, etc. Includes records related to board minutes and notices, and board committee meetings. Handwritten notes are retained only until the formal meeting minutes are approved. One copy of supporting presentations is maintained with the final, approved minutes. Records are subject to review by the State Archivist before disposal.

RECORDS DISPOSITION REPORT

TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8TH STREET SUITE 210 LINCOLN, NE 68508-2294	AGENCY
	DIVISION
	SUB-DIVISION

REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

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DATE	SIGNATURE
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SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.

RMA 03006D

VOLUME ESTIMATING GUIDE

**(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK
ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS
ADEQUATE.)**

Container	Cubic Feet	Weight (lbs)	Sheets of Paper (8.5" x 11")	Electronic Data Equivalent
			1	20 Kb
			52	1 Mb (1024 Kb)
			53,687	1 Gb (1024 Mb)
N/A	N/A	2,204 lbs (1 metric ton)	220,000	4.1 Gb
Records center carton	1 Cu. Foot	16.66 lbs	1,667	32 Mb
Vertical File Cabinet, 4 drawer letter- size	6 Cu. Feet	100 lbs	10,000	190 Mb
Vertical File Cabinet, 4 drawer legal- size	8 Cu. Feet	133.3 lbs	13,333	254 Mb
About a pickup load	50 Cu. Feet	7,500 lbs	748,638	14 Gb

4. AGENCY TITLE Washington State University		5. OFFICE OF RECORD Nuclear Radiation Center			6. RECORDS COORDINATOR W.E. Wilson <i>W. E. Wilson</i>		8. TELEPHONE 335-8317	9. DATE MO DAY YEAR
10. No.	11. RECORDS SERIES TITLE AND STATEMENT OF FUNCTION OR PURPOSE	12. OPR OR OFM	13. LOCATION OF OTHER COPIES	14. CUT OFF	15. RETENTION PERIOD	16. DISPOSITION AUTHORITY NUMBER	17. REMARKS	
18	SAFETY FILE* -- This schedule includes safety programs and reports such as hazard notification, safety meeting minutes, safety inspection checklist, accident or illness reports, witness statements, supervisor's accident report, waste disposal records, hazard communication program, material safety data sheets, respirator training record, respirator program, radioactive records, and safety training records.	OFM		US	0	WSU-GS 8		
19	KEY RECORDS* -- Provides a record of individuals who have been assigned keys to department rooms, buildings, and other facilities. Records maintained by individual and by room.	OFM		Return of key	1 yr	WSU-GS 7		
20	TRAVEL DOCUMENTS -- Documents university travel. Includes Travel Authority, Travel Expense Voucher and Travel Authority Vehicle Release.	OFM	Controller*	FY	2 yr	WSU-GS 5		
21	EFFORT CERTIFICATION -- Record of the employee's activity for the month in compliance with federal regulations.	OFM	Controller*	FY	1 yr	WSU-GS 4		
22	REACTOR OPERATIONS LOGS* -- Record of normal operation of the reactor including readings of system instrumentation and sample insertion and removal times.	OFM		FY	5 yr	89-02-43754		
18. RECORDS OFFICER <i>Lou Ann Pasquon</i>		STATE RECORDS COMMITTEE FOR THE ATTORNEY GENERAL <i>W. E. Wilson</i>			FOR THE STATE AUDITOR <i>Robert D. Longhead</i>		FOR THE STATE ARCHIVIST <i>John E. W. ...</i>	

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29	RADIATION SURVEY RECORDS* -- Records of all routine and special area and contamination surveys performed at the reactor facility.	OFM		Facility in Operation	10 yr	89-02-43761		
30	RADIATION EXPOSURE RECORDS* -- Records of all routine personnel radiation exposure measurements performed on visitors, radiation center employees and students, and people who frequent the facility and enter restricted areas. This category also includes records of training received related to working with radioactive materials.	OFM		Facility in Operation	10 yr	89-02-43762		
31	FACILITY DRAWING -- An up-to-date-as-built set of drawings for the reactor facility and all associated instrumentation. (Federal Regulations require special protection for any drawings showing the amounts and/or location of fuel within the reactor or stored in the facility.)	OFM	Facilities Planning*	Facility in Operation	10 yr	89-02-43763		
32	PROPOSAL FILE* -- Copies of all proposals submitted to outside agencies for grants or requesting financial support for research projects.	OFM		FY	5 yr	89-02-43764		
18. RECORDS OFFICER <i>Lou Ann Pasqua</i>		STATE RECORDS COMMITTEE FOR THE ATTORNEY GENERAL <i>Mark</i>			FOR THE STATE AUDITOR <i>Keith D. Fughees</i>		FOR THE STATE ARCHIVIST <i>John E. Meacham</i>	
							FOR THE DIRECTOR OF OFM <i>John E. Meacham</i>	

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23	MAINTENANCE LOG* -- Records of all routine and special maintenance and calibrations performed on the reactor and associated instrumentation and all radiation monitoring and radiation survey instruments.	OFM		FY	5 yr	89-02-43755		
24	ABNORMAL OCCURRENCE LOG* -- Record of all abnormal occurrence, reportable events, and inadvertent scrams.	OFM		FY	5 yr	89-02-43756		
25	IRRADIATION RECORDS -- Records of all experiments and irradiations performed including any associated safety or sample failure analyses.	OFM		FY	5 yr	89-02-43757		
26	RADIOACTIVE RELEASE RECORDS* -- Records of all gaseous and liquid radioactive effluents released into the environs	OFM		Facility in Operation	10 yr	89-02-43758		
27	RADIOACTIVE MATERIAL TRANSFER* -- Records of all radioactive material transferred out of the facility, including destination and data on recipient's license to receive such material if off campus.	OFM		FY	10 yr	89-02-43759		
28	REACTOR FUEL RECORDS* -- Semiannual inventory of special nuclear materials on site and records of all SNM received or shipped off site. (Federal Regulations require special protection of these records.)	OFM		SA	10 yr	89-02-43760		
18. RECORDS OFFICER <i>Louanna Pasquon</i>		STATE RECORDS COMMITTEE FOR THE ATTORNEY GENERAL <i>M. Hart</i>			FOR THE STATE AUDITOR <i>Robert D. Longhead</i>		FOR THE STATE ARCHIVIST <i>John E. McLean</i>	
					FOR THE DIRECTOR OF OFM <i>John E. McLean</i>			

4. AGENCY TITLE Washington State University		5. OFFICE OF RECORD Nuclear Radiation Center			6. RECORDS COORDINATOR W.E. Wilson <i>W. E. Wilson</i>		8. TELEPHONE 335-8317	9. DATE MO DAY YEAR
10. No.	11. RECORDS SERIES TITLE AND STATEMENT OF FUNCTION OR PURPOSE	12. OPR OR OFM	13. LOCATION OF OTHER COPIES	14. CUT OFF	15. RETENTION PERIOD	16. DISPOSITION AUTHORITY NUMBER	17. REMARKS	
33	CONTRACT/GRANT FILE -- Copies of all documentation relating to funded grants funded research projects, and service work.	OFM	Controller*	FY	5 yr	89-02-43765		
34	RECORDS RETENTION SCHEDULE SSA-53B, COPY 2 -- Provides identification and disposition of all records found in the office.	OFM	Archives*	LRDO	1 yr	GS-11		
18. RECORDS OFFICER <i>Lou Ann Lasquan</i>		STATE RECORDS COMMITTEE FOR THE ATTORNEY GENERAL <i>Mark</i>			FOR THE STATE ARCHIVIST <i>Robert D. Langford</i>		FOR THE DIRECTOR OF OFM <i>John E. Wadsworth</i>	

4. AGENCY TITLE Washington State University		5. OFFICE OF RECORD Nuclear Radiation Center			6. RECORDS COORDINATOR W.E. Wilson <i>W.E. Wilson</i>		8. TELEPHONE 335-8317	9. DATE MO DAY YEAR
10. No.	11. RECORDS SERIES TITLE AND STATEMENT OF FUNCTION OR PURPOSE	12. OPR OR OFM	13. LOCATION OF OTHER COPIES	14. CUT OFF	15. RETENTION PERIOD	16. DISPOSITION AUTHORITY NUMBER	17. REMARKS	
1	GENERAL CORRESPONDENCE* -- Provides documentation pertaining to the operation of the office.	OFM		FY	2 yr	GS-9	Potential U. Archives	
2	TRANSITORY RECORDS* -- Provides correspondence and other documentation which performs a purely routine function.	OFM		MO	3 mo	GS-9		
3	READING OR DAY FILES* -- Extra copies of correspondence, memos, or other documents assembled for ready reference, signature control, preparation of periodic activity reports or similar administrative reasons.	OFM		MO	3 mo	GS-9		
4	PERSONNEL ACTIONS -- Provides a record of changes in employment status.	OFM	Personnel*	US	0	WSU-GS 6		
5	LEAVE REPORT -- Provides a record of leave requests, use, and accrual for faculty, administrative, and professional personnel.	OFM	Personnel*	FY	2 yr	WSU-GS 6		
6	TIME REPORT* -- Provides a record of leave requests, use, and accrual and hours worked for classified staff. Transferred with WSU employees or sent to Staff Personnel when employment terminates.	OFM		TOE	0	WSU-GS 6		
7	DAILY ACTIVITY REPORT AND TIME CLOCK CARDS* -- Provides the record of time worked by temporary employees.	OPR		FY	6 yr	WSU-GS-6		
18. RECORDS OFFICER <i>Luis Pasqua</i>		STATE RECORDS COMMITTEE FOR THE ATTORNEY GENERAL <i>Mark</i>			FOR THE STATE AUDITOR <i>Keith D. Longhead</i>		FOR THE STATE ARCHIVIST <i>Billy McArthur</i>	
							FOR THE DIRECTOR OF OFM <i>John P. Wadsworth</i>	

4. AGENCY TITLE Washington State University		5. OFFICE OF RECORD Nuclear Radiation Center			6. RECORDS COORDINATOR W.E. Wilson <i>W. E. Wilson</i>		8. TELEPHONE 335-8317	9. DATE MO DAY YEAR
10. No.	11. RECORDS SERIES TITLE AND STATEMENT OF FUNCTION OR PURPOSE	12. OPR OR OFM	13. LOCATION OF OTHER COPIES	14. CUT OFF	15. RETENTION PERIOD	16. DISPOSITION AUTHORITY NUMBER	17. REMARKS	
8	POSITION CONTROL FILE -- Record of positions authorized, source of funds, and related position attributes. Can include classification questionnaires. Use to plan, to staff, and to document need.	OFM	Position Control*	US	0	WSU-GS 6		
9	EMPLOYEE PERFORMANCE EVALUATION -- Provides a record of evaluation on a classified staff employee's performance.	OFM	Personnel*	Evaluation	3 yr	WSU-GS 6		
10	ANNUAL REVIEW/FACULTY -- Provides a record of academic activities. Used for tenure, promotion, and salary increases.	OFM	Personnel*	FY	5 yr	WSU-GS-6		
11	DEPARTMENT'S EMPLOYEE FILE* -- Copies of all documentation relating to a specific individual's employment at WSU, including position actions, accident reports, special and safety training received, salary increase notices, letters of commendation, and letters of reprimand.	OFM		TOE	2 yr	WSU-GS 6		
12	SEARCH COMMITTEE FILE* -- Select employees.	OFM		FY	3 yr	WSU-GS 6		
13	PROPERTY AND EQUIPMENT MANAGEMENT FILE -- Record of departmental equipment by inventory numbers, surplus stores sales, and related documents.	OFM	Controller*	FY	2 yr	WSU-GS 4		
18. RECORDS OFFICER <i>Lou Ann Pasquon</i>		STATE RECORDS COMMITTEE FOR THE ATTORNEY GENERAL <i>N. T. ...</i>			FOR THE STATE AUDITOR <i>Keith D. Longhead</i>		FOR THE STATE ARCHIVIST <i>John B. ...</i>	

4. AGENCY TITLE Washington State University		5. OFFICE OF RECORD Nuclear Radiation Center			6. RECORDS COORDINATOR W.E. Wilson <i>W.E. Wilson</i>		8. TELEPHONE 335-8317	9. DATE MO DAY YEAR
10. No.	11. RECORDS SERIES TITLE AND STATEMENT OF FUNCTION OR PURPOSE	12. OPR OR OFM	13. LOCATION OF OTHER COPIES	14. CUT OFF	15. RETENTION PERIOD	16. DISPOSITION AUTHORITY NUMBER	17. REMARKS	
14	DEPARTMENTAL PLANNING* -- Administrative unit's goals and objectives and copies of unit's annual report. Provides reference for continued planning.	OFM		FY	4 yr	WSU-GS 9	Potential U Archives	
15	BUDGET PREPARATION DOCUMENTS* -- Requests for financial support and capital improvements. Used to document requests and collect related information.	OFM		FY	4 yr	WSU-GS 9		
16	BUDGETARY CONTROL FILE -- Copies of documents used to record allocation of funds and utilization of operating budget funds. Includes: Budget Statement, Payroll Expenditure Control Report, journal vouchers, and ledgers.	OFM	Controller*	FY	2 yr	WSU-GS 4		
17	PURCHASING FORMS -- Documents transactions involving procurement of supplies, equipment and services. Requisition and Invoice, Inter-departmental Purchase Order & Departmental Invoice, Receiving Report, Purchase Order, invoices, requisitions, and related purchasing and accounting documents.	OFM	Controller*	FY	2 yr	WSU-GS 1		
18. RECORDS OFFICER <i>Lou Ann Pasquon</i>		STATE RECORDS COMMITTEE FOR THE ATTORNEY GENERAL <i>mtur</i>		FOR THE STATE AUDITOR <i>Robert J. Fitzgerald</i>		FOR THE STATE ARCHIVIST <i>Edgar McArthur</i>		FOR THE DIRECTOR OF OFM <i>John E. W. Cadogan</i>

TO: AGENCY Washington State University	OFFICE OF RECORD Nuclear Radiation Center	DATE OF ORIGINAL OR UPDATED SCHEDULE 18 December 1975
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Your attention is invited to the form SSA-53, Records Inventory, Disposition Authorization & Transfer Schedule, for the above listed office, which is due its annual review in accord with RCW 40.14.040. The importance of the forms SSA-53 and SSA-53B being prepared in language that is completely understandable by all concerned is essential to the success of the program. The following describes the forms SSA-53 and/or items found thereon which are important to the office preparing and maintaining the forms.

☒ Records Series on this form SSA-53 appear to be accurately described and in sufficient number to satisfy the needs of the office concerned.

☒ For consistency purposes, time permitting, action should be taken at this time to convert records retention scheduling from the old form SSA-53, Records Inventory, Disposition Authorization & Transfer Schedule, to the new form SSA-53B, Records Retention Schedule.

☐ Some of the Records Series on this form SSA-53 appear to need some improvement to be more effective. Please refer to the Checklist on the reverse side of this form SSA-18.

☒ Please indicate action(s) taken to the form SSA-53 for your office by checking the appropriate block(s) in the lower one-half of this form SSA-18, fold it on the dotted line, send it in its entirety to your Records Officer for review and forwarding to the State Records Management Office. Upon approval, the Records Officer will forward this form SSA-18 and other appropriate documents to the State Records Management Office, MS EA-11, Office of Secretary of State, Olympia, WA 98504, to arrive not later than

15 December 1975

(DATE)

FOLD HERE

TO: STATE RECORDS MANAGEMENT OFFICE MS EA-11	FROM: RECORDS COORDINATOR NAME OF OFFICE OF RECORD Nuclear Radiation Center / W. E. Wilson	THRU: RECORDS OFFICER NAME OF AGENCY X OH Ann Pasquar
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This form SSA-53/SSA-53B was reviewed on

2-3-1988

(DATE)

As a result of this review, the following action(s) taken:

☐ Conversion has been made from the old form SSA-53 to the new form SSA-53B. Form SSA-53B attached.

☐ New Records Series which have been developed since preparation of the original or updated Schedule indicated on the attached form SSA-53B.

☐ Records Series which have been discontinued since preparation of the original or updated Schedule indicated on the attached form SSA-53B.

☐ Adjustment to more realistic retention periods for certain Records Series indicated on the attached form SSA-53B.

☒ A new form SSA-53B has been prepared and attached, correcting deficiencies indicated on the Checklist on the reverse side of this form SSA-18 and pointed out in the above portion of this form SSA-18.

☒ No changes or additions are necessary. The present form SSA-53 or SSA-53B is a complete listing of Records Series necessary for the efficient operation of this office.



WASHINGTON STATE RECORDS COMMITTEE
RECORDS INVENTORY, DISPOSITION AUTHORIZATION & TRANSFER SCHEDULE
REFERENCE: RCW 40.14

1. AGENCY TITLE		2. OFFICE OF RECORD		3. RECORDS COORDINATOR OR CUSTODIAN (TYPED) & PHONE		4. SIGNATURE		5. DATE OF SUBMITTAL		PAGE OF PAGES																
6. NO.		7. RECORDS SERIES TITLE		8. FUNCTION/PURPOSE		9. OPR or OFM		10. INCLUSIVE DATES		11. LOCATION OF OTHER COPIES		12. VOLUME OF RECORDS		13. CUT-OFF		14. RETENTION PERIODS			15. DISPOSITION AUTHORITY NUMBER		16. REMARKS					
								FROM TO								OFFICE RCDS CTR TOTAL										
1		Administrative Subject/General Correspondence File*		Documents internal operations and relationship with campus offices and external organizations.		OFM		1970 Present				4 CuFt		CY		5 yrs. 0			5 yrs.		WSU-GS 2		Includes potential U. Arch.			
2		Budget/Fiscal File		Copies of statements and expenditures for reference.		OFM		1964 Present		Controller*		5 CuFt		FY		2 yrs. 0			2 yrs.		WSU-GS 1&4					
3		Annual Reports *		Narrative and statistical summary of activities.		OFM		1962 Present		Grad Sch.		.5 CuFt		FY		Perm 0			Perm		75-12-16356		Archival value			
4		Project File		Copy of proposal, fiscal data and correspondence		OFM		1964 Present		Controller*		4 CuFt		Term		5 yrs. 0			5 yrs.		75-12-16357					
5		Personnel File		Copies of appointments, promotion, etc.		OFM		1963 Present		Personnel*		1 CuFt		Term		5 yrs. 0			5 yrs.		75-12-16358					
6		Accidental Injury Report *		States nature of injury and who was involved.		OFM		1964 Present		Safety Off. Insurance		1 in.				10 yrs. 0			10 yrs.		75-12-16359					
7		Summer Institute File*		Applications, correspondence, etc. for operation of training sessions.		OFM		1971 Present				3 CuFt		CY		2 yrs. 0			2 yrs.		75-12-16360					
8		Records Disposition Schedule		Authorization for disposal of records.		OFM		1975 Present		St. Arch.*		1 in.				1 yr after last records discarded			0		1 yr after last records discarded		75-12-16361			

17. AGENCY RECORDS OFFICER (TYPED)		18. SIGNATURE		ACTION BY THE STATE RECORDS COMMITTEE				<input checked="" type="checkbox"/> APPROVED		<input type="checkbox"/> APPROVED AS AMENDED		<input type="checkbox"/> DISAPPROVED	
Bruce C. Harding		<i>Bruce C. Harding</i>		RECORD GROUP NUMBER		FOR THE ATTORNEY GENERAL		FOR THE STATE AUDITOR		FOR THE STATE ARCHIVIST			



This schedule applies to: Public Utility Providers

Scope of records retention schedule

This records retention schedule authorizes the destruction/transfer of public records documenting the unique functions and activities of local government agencies that provide utility services (power generation/distribution, water and sewer, surface water drainage, irrigation water, etc.). It is to be used in conjunction with the *Local Government Common Records Retention Schedule (CORE)*, which can be found at: <http://www.sos.wa.gov/archives/RecordsRetentionSchedules.aspx>.

Disposition of public records

Public records covered by records series within this records retention schedule must be retained for the minimum retention period as specified in this schedule. Washington State Archives strongly recommends the disposition of public records at the end of their minimum retention period for the efficient and effective management of local resources.

Public records designated as Archival or Permanent must not be destroyed. Records designated as Potentially Archival must be appraised by the Washington State Archives before disposition. Public records must not be destroyed if they are subject to ongoing or reasonably anticipated litigation. Such public records must be managed in accordance with the agency's policies and procedures for legal holds. Public records must not be destroyed if they are subject to an existing public records request in accordance with chapter 42.56 RCW. Such public records must be managed in accordance with the agency's policies and procedures for public records requests.

Revocation of previously issued records retention schedules

All previously approved disposition authorities for records that are covered by this retention schedule are revoked, including those listed in all general and agency unique retention schedules. All previously approved records retention schedules for the former Washington Public Power Supply System (WPPSS) are revoked. Local government agencies must ensure that the retention and disposition of public records is in accordance with current, approved records retention schedules.

Authority

This records retention schedule was approved by the Local Records Committee in accordance with RCW 40.14.070 on December 15, 2011.

For the State Auditor: Mark Rapozo

For the Attorney General: Cindy Evans

The State Archivist: Jerry Handfield



REVISION HISTORY

Version	Date of Approval	Extent of Revision
Initial	1981	First public utilities retention schedule.
1.0	December 2, 2010	All records series relating to the provision of public utilities were transferred from the <i>Local Government General Records Retention Schedule (LGRRS) Ver. 5.1</i> . Records series prefix changed from GS to UT, and all notes about previous revisions and corrections removed. Some titles were shortened by removing functions/activities ("UTILITIES ACCOUNTING", "ELECTRIC POWER GENERATION", etc.). Electric Utilities section was restructured, and three new records series added: two to Power Generation, and one to Power Distribution. An additional series covering critical cyber assets was added, and additional series were revised. (See Revision Guide.)
1.1	December 15, 2011	Nuclear Utilities section added with 10 new records series. No other changes. (No Revision Guide issued.)

**For assistance and advice in applying this records retention schedule,
please contact Washington State Archives at:
recordsmanagement@sos.wa.gov
or contact your Regional Archivist.**



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1. AGENCY MANAGEMENT

The function relating to the overarching management of the local government agency and its general administration, where not covered by the *Local Government Common Records Retention Schedule (CORE)*.

1.1 PLANNING, MISSION, AND CHARTER

The activity of documenting and determining the local government agency's objectives, and the means for obtaining them.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
1.1.1	<p>FORECASTS – ELECTRIC UTILITIES</p> <p>Includes forecasts of estimated power loads, future income, receipts and expenditures in connection with financing, construction and operations, including acquisitions and disposals of properties or investments prepared for internal administrative or operating purposes.</p> <p><i>Note: See 18 CFR §125.3 39.</i></p>	UT55-05D-20 Rev. 0	<p>Retain for 3 years <i>then</i> Arrange for appraisal by Washington State Archives.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM</p>



1.2 REPORTING

The activity of reporting information relating to the agency as required by federal, state, and local law.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
1.2.1	<p><i>Electric Power Reports Required by Regulatory Agencies and Commissions</i></p> <p>Records relating to reports submitted to the Federal Energy Regulatory Commission (FERC), North American Electric Reliability Corporation (NERC), Western Electricity Coordinating Council (WECC), or other regulatory bodies. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Mitigation plans (retractions, updates, etc.); • Self reports (reports of non-compliance); • Self certifications; • Data requests from NERC and WECC. <p><i>Note: See 18 CFR §125.3 41.</i></p>	UT55-05D-21 Rev. 0	<p>Retain for 5 years after submitted to regulatory agency <i>then</i> Arrange for appraisal by Washington State Archives.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>



2. ASSET MANAGEMENT

The function of managing the local government agency's physical assets (facilities, land, equipment, vehicles, supplies, etc.), where not covered by the *Local Government Common Records Retention Schedule (CORE)*. Includes asset acquisition, maintenance, inventory, and disposal.

2.1 DESIGN AND CONSTRUCTION

The activity of designing, constructing, or remodeling of buildings, structures, infrastructure, etc., owned, leased or otherwise occupied by the local government agency.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
2.1.1	CONSTRUCTION COST ANALYSIS – ELECTRIC POWER SYSTEMS <i>Note: See 18 CFR §125.3 17(f).</i>	UT55-05G-01 Rev. 0	Retain for 5 years after clearance to plant account <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
2.1.2	CONSTRUCTION PROJECT FILES – ELECTRIC POWER SYSTEMS <i>Note: See 18 CFR §125.3 17(b), (e) and (g).</i>	UT55-05G-02 Rev. 0	Completion of project plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
2.1.3	EXPENDITURE REQUISITION AND AUTHORIZATION FILES – ELECTRIC POWER SYSTEMS <i>Note: See 18 CFR §125.3 11.</i>	UT55-05G-03 Rev. 0	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
2.1.4	UTILITY PLANT CONSTRUCTION CONTRACTS – ELECTRIC UTILITIES Official documentation of contracts and agreements for purchase of goods or services relating to the construction of utility plants. May include consultant contracts, public work contracts, or non-stock material contract. <i>Note: See 18 CFR §125.3 22(b).</i>	UT55-05G-06 Rev. 0	Sale or retirement of plant plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
2.1.5	WORK IN PROGRESS LEDGERS OR REPORTS – ELECTRIC POWER SYSTEMS <i>Note: See 18 CFR §125.3 17(a).</i>	UT55-05G-05 Rev. 0	5 years after clearance to plant account.	NON-ARCHIVAL NON-ESSENTIAL OPR



2.1 DESIGN AND CONSTRUCTION

The activity of designing, constructing, or remodeling of buildings, structures, infrastructure, etc., owned, leased or otherwise occupied by the local government agency.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
2.1.6	WORK ORDERS – ELECTRIC POWER SYSTEMS <i>Note: See 18 CFR §125.3 17(a).</i>	UT50-06B-28 Rev. 0	5 years after clearance to plant account.	NON-ARCHIVAL NON-ESSENTIAL OPR



2.2 ELECTRONIC INFORMATION SYSTEMS

This section covers records relating to electronic information systems which are not covered by the *Local Government Common Records Retention Schedule (CORE)*.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
2.2.1	<p>Security – Cyber Vulnerability Assessment</p> <p>Records documenting annual vulnerability assessments of the agency's Critical Cyber Assets (CCA) in accordance with CIP-005-03.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Access control lists; • All access and external connection points (physical and electronic); • Multiple user accounts and account passwords; • Network management and protocols; • IP addresses; • Final report of assessment. 	UT2010-088 Rev. 0	Retain for 1 year after completion of assessment <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



3. IRRIGATION UTILITIES

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.1	FORECLOSURE FILES – IRRIGATION UTILITIES	UT50-32-01 Rev. 0	Foreclosure of account plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
3.2	LAND OWNER WATER QUALITY VIOLATION FILES – IRRIGATION UTILITIES Includes landowner water quality plans submitted to resolve violations.	UT50-32-03 Rev. 0	Retain for 6 years after resolution <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
3.3	LAND USE HISTORY FILES – IRRIGATION UTILITIES Includes water right contracts, permits, easements, reclassification, water allotment and other land use documentation for district service area organized by section, township and range.	UT50-32-04 Rev. 0	Retain until no longer need for agency business <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) ESSENTIAL OFM
3.4	LINE LOCATION REQUESTS – IRRIGATION UTILITIES	UT50-32-05 Rev. 0	1 year	NON-ARCHIVAL NON-ESSENTIAL OFM
3.5	WATER DIVERSION REPORTS – IRRIGATION UTILITIES	UT50-32-06 Rev. 0	Retain for 6 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
3.6	WATER QUALITY MONITORING DATA – IRRIGATION UTILITIES	UT50-32-07 Rev. 0	Retain for 3 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.7	WATER USE REPORTS – IRRIGATION UTILITIES	UT50-32-08 Rev. 0	Retain for 6 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR



4. POWER DISTRIBUTION

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.1	APPARATUS FAILURE REPORTS <i>Note: See 18 CFR §125.3 13.</i>	UT55-05E-01 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OPR
4.2	Control Performance Standards Records relating to Control Performance Standards (CPS) submitted to Western Electricity Coordinating Council (WECC) in accordance with BAL-001-0.1a.	UT2010-089 Rev. 0	Retain for 1 year after submitted <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
4.3	ELECTRICAL WORK PERMITS (HARD CARDS) Permits for individuals to install residential alarms, communications, etc.	UT55-05E-25 Rev. 0	Termination plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
4.4	ELECTRICITY DIVERSION INVESTIGATION RECORDS Inquiry regarding problems or discrepancies with meters, either from meter reader or other parties. Investigation records may include: site visit dates, notes regarding location, pictures of meter or surrounding area, consumption history, special meter read, and service order for technical support.	UT55-05G-07 Rev. 0	Investigation closed plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
4.5	FACILITY INSPECTION AND MAINTENANCE REPORTS Periodic reports on the condition of substations, underground vaults, and other distribution system facilities. <i>Note: See 18 CFR §125.3 14(b).</i>	UT55-05E-14 Rev. 0	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
4.6	FACILITY RETIREMENT AUTHORIZATION <i>Note: See 18 CFR §125.3 18(b). If equipment or facility has PCB content, retain record permanently to protect the agency's open-ended liability for the handling and disposal of hazardous substances.</i>	UT55-05E-02 Rev. 0	10 years after facility retired.	NON-ARCHIVAL NON-ESSENTIAL OPR



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.7	FACILITY RETIREMENT WORK ORDER Basic record of facility removal and/or replacement. <i>Note: See 18 CFR §125.3 18(a). If equipment or facility has PCB content, retain record permanently to protect the agency's open-ended liability for the handling and disposal of hazardous substances.</i>	UT55-05E-03 Rev. 0	10 years after facility retired.	NON-ARCHIVAL NON-ESSENTIAL OPR
4.8	INSULATOR TEST RECORDS <i>Note: See 18 CFR §125.3 14(d).</i>	UT55-05E-04 Rev. 0	3 Years	NON-ARCHIVAL NON-ESSENTIAL OFM
4.9	<i>Interchange Transactions and Reliability Coordination</i> Records relating to the coordination of power distribution through the Western Interconnection electric grid. Includes, but is not limited to: <ul style="list-style-type: none"> • E-tag schedules; • Estimated load, forecast or contracted amount; • Daily, next day and contingency coordination; • Scheduled, unscheduled, and pre-scheduled; • Real-time transactions; • Real-time systems monitoring (logs, computer screen shots, etc.); • Outage coordination. <i>Excludes reports of non-compliance covered by UT55-05D-21.</i> <i>Note: See INT-001-3, INT-003-2, INT-004-2, INT-009-1, INT-010-1, IRO-004-1, and IRO-005-2.</i>	UT2010-090 Rev. 0	Retain for 3 months or 90 days after report of data, whichever is later <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.10	LIGHTNING AND STORM DATA	UT55-05E-05 Rev. 0	Retain until no longer needed for agency business <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) ESSENTIAL OFM
4.11	LINE INSPECTION REPORTS <i>Note: See 18 CFR §125.3 14(b).</i>	UT55-05E-06 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OPR
4.12	LINE TROUBLE REPORTS AND RECORDS <i>Note: See 18 CFR §125.3 14(b).</i>	UT55-05E-07 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
4.13	METER HISTORY DATA Historical data on each meter, including specification, serial number, location, and maintenance history.	UT55-05E-08 Rev. 0	Life of equipment	NON-ARCHIVAL NON-ESSENTIAL OFM
4.14	METER SHOP REPORTS Monthly/periodic reports summarizing test, repairs, and other work done on meters. <i>Note: See 18 CFR §125.3 14(b).</i>	UT55-05E-09 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
4.15	OPERATIONS LOGS AND REPORTS Including, but not limited to, equipment, operator, storage battery, substation, and transmission. <i>Note: See 18 CFR §125 14(a) and 14(b).</i>	UT55-05E-10 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
4.16	OUTAGE LOG <i>Note: See 18 CFR §125.3 14(b).</i>	UT55-05E-11 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.17	POLE LIST Record of utility pole type, description, location, ancillary equipment, etc. <i>Note: See 18 CFR §125.3 14(c).</i>	UT55-05E-12 Rev. 0	Life of equipment	NON-ARCHIVAL ESSENTIAL OFM
4.18	POWER DEMAND CHARTS	UT55-05E-13 Rev. 0	Retain for 6 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) ESSENTIAL OFM
4.19	STREET LIGHT HISTORY RECORDS	UT55-05E-17 Rev. 0	Life of equipment	NON-ARCHIVAL NON-ESSENTIAL OFM
4.20	STREET OPENING INSPECTION AND REPAIR REPORTS <i>Note: See 18 CFR §125.3 23.1(j), National Association of Regulatory Utility Commissioners NARUC 23.1(j).</i>	UT55-05E-18 Rev. 0	Destroy when obsolete or superseded.	NON-ARCHIVAL NON-ESSENTIAL OFM
4.21	TRANSFORMER HISTORY DATA – NON-PCB Records documenting the history of transformers which do not contain Polychlorinated Biphenyls (PCBs). Includes specifications, location, and maintenance history. <i>Note: See UT55-05E-29 for history data of transformers containing Polychlorinated Biphenyls (PCBs).</i>	UT55-05E-20 Rev. 0	Life of equipment plus 10 years.	NON-ARCHIVAL ESSENTIAL OFM



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.22	<p>TRANSFORMER HISTORY DATA – PCB</p> <p>Records documenting the history of transformers which contain Polychlorinated Biphenyls (PCBs). Includes specifications, location, and maintenance history.</p> <p><i>Note: See UT55-05E-20 for history data of transformers not containing Polychlorinated Biphenyls (PCBs).</i></p> <p><i>Note: See 18 CFR §125.3 14(c). For PCB retention requirements. See 40 CFR § 761.180(b).</i></p>	UT55-05E-29 Rev. 0	Life of equipment plus 20 years.	NON-ARCHIVAL ESSENTIAL OFM
4.23	<p>TRANSFORMER INSPECTION REPORTS</p> <p><i>Note: See 18 CFR §125.3 14(d) If equipment of facility has PCB content, retain record permanently to protect the agency's open-ended liability for the handling and disposal of hazardous substances.</i></p>	UT55-05E-21 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
4.24	<p>TURBINE HISTORY FILES</p> <p>Documentation of installation, operation, and maintenance logs, etc.</p> <p><i>Note: See 18 CFR §125.2(g)(1).</i></p>	UT55-05E-26 Rev. 0	Life of equipment	NON-ARCHIVAL NON-ESSENTIAL OFM
4.25	<p>UNDERGROUND LINE FILES</p> <p>Data on underground lines, including location and specification.</p> <p><i>Note: See 18 CFR §125.3 21.</i></p>	UT55-05E-23 Rev. 0	Life of equipment.	NON-ARCHIVAL ESSENTIAL OFM
4.26	<p>VOLTAGE CHARTS</p> <p>Documentation of voltage delivered to the power distribution system.</p> <p><i>Note: See 18 CFR §125.3 13.1(b).</i></p>	UT55-05E-24 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM



5. POWER GENERATION

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
5.1	<p>Automatic Generation Control (AGC) Records documenting the management of the automatic generation system as it balances power distribution on the electric grid (and deploys reserve power when required).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Actual and scheduled frequency (megawatts distributed); Actual and scheduled interchange transactions (size, start/end times, ramp times and rates, type required for delivery, receipt of power between utilities, etc.); Disturbance occurrence; Error corrections. <p><i>Note: See BAL-005-0.1b.</i></p>	UT2010-091 Rev. 0	Retain for 1 year after data collected <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
5.2	<p>BOILER TUBE FAILURE REPORT</p> <p><i>Note: See 18 CFR §125.3 13.1(a).</i></p>	UT55-05D-01 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
5.3	<p>COAL LOGS</p> <p><i>Note: See 18 CFR §125.3 13.1(a).</i></p>	UT55-05D-02 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
5.4	<p>DAM SAFETY COMPLIANCE REVIEW FILES - FEDERAL ENERGY REGULATORY COMMISSION (FERC)</p> <p>Files document the FERC regulatory process ensuring all incoming correspondence, outgoing correspondence, documentation, reports to FERC or reports from FERC are sent and received officially by the agency.</p>	UT55-05E-27 Rev. 0	3 Years	NON-ARCHIVAL NON-ESSENTIAL OFM



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
5.5	EQUIPMENT LOGS Records of use and performance, including in and out times. <i>Note: See 18 CFR §125.3 13.1(b).</i>	UT55-05D-03 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
5.6	FISH COUNT REPORTS Periodic reports on fish population, including charts, summaries, and accounts of population increase and decrease and projects located in, on or adjacent to surface water.	UT55-05D-04 Rev. 0	Retain for 10 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
5.7	GAUGE READING REPORTS (OTHER THAN WATER OR RIVER FLOW) <i>Note: See 18 CFR §125.3 13.1(f).</i>	UT55-05D-05 Rev. 0	2 years	NON-ARCHIVAL NON-ESSENTIAL OFM
5.8	GENERATION AND OUTPUT LOGS WITH SUPPORTING DATA <i>Note: See 18 CFR §125.3 13.1(b).</i>	UT55-05D-06 Rev. 0	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
5.9	HIGH-TENSION AND LOW-TENSION GENERATING LOAD RECORDS <i>Note: See 18 CFR §125.3 13.1(d).</i>	UT55-05D-07 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
5.10	HYDRO-ELECTRIC OPERATIONS LOGS AND REPORTS Includes daily and hourly logs, shift records, supervisors and plant operations daily diaries. May be needed for documentation of issues in litigation. <i>Note: See 18 CFR §125.3 14(b) and 18 CFR §125.3 13.1(b).</i>	UT55-05D-08 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
5.11	LOAD CURVES <i>Note: See 18 CFR §125.3 13.1(e).</i>	UT55-05D-09 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
5.12	LOAD DISPATCHER PERMITS <i>Note: See National Association of Regulatory Utility Commissioners NARUC 22.1(k).</i>	UT55-05D-10 Rev. 0	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OFM
5.13	MAINTENANCE REPORTS For hydroelectric equipment and facilities performance and repairs. <i>Note: See National Association of Regulatory Utility Commissioners NARUC 22.1(b).</i>	UT55-05D-11 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
5.14	POLLUTION REPORTS/STUDIES Documentation and data compiled on to waste accumulation and pollution generated by or around facilities. Does not include hazardous materials. <i>Note: For documentation of pollution involving hazardous materials, see GS50-19-03 and GS50-19-06 in the Local Government Common Records Retention Schedule (CORE).</i>	UT55-05D-12 Rev. 0	Retain for 10 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) ESSENTIAL OFM
5.15	RECORDING INSTRUMENT CHARTS <i>Note: See 18 CFR §125.3 13.1(g).</i>	UT55-05D-13 Rev. 0	1 year	NON-ARCHIVAL NON-ESSENTIAL OFM
5.16	SPILL GATE DATA COLLECTED FOR ANNUAL REPORT TO THE FEDERAL ENERGY REGULATORY COMMISSION (FERC) REGARDING OPERATION OF EACH SPILLWAY	UT55-05E-28 Rev. 0	3 Years	NON-ARCHIVAL NON-ESSENTIAL OFM
5.17	STATION AND SYSTEM GENERATION REPORTS Periodic reports on the amount of power being generated. <i>Note: See 18 CFR §125.3 13.1(c1).</i>	UT55-05D-14 Rev. 0	25 years	NON-ARCHIVAL NON-ESSENTIAL OPR
5.18	STATION LOAD PERMITS <i>Note: See National Association of Regulatory Utility Commissioners NARUC 22.1(k).</i>	UT55-05D-15 Rev. 0	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OPR



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
5.19	TECHNICAL DATA FILES Periodic reports, charts, and miscellaneous data on weather, geology, hydrology, and topography created for reference use. <i>Note: See 18 CFR §125.3 38.</i>	UT55-05D-16 Rev. 0	Retain for 5 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
5.20	TEMPERATURE LOGS <i>Note: See 18 CFR §125.3 13.1(e).</i>	UT55-05D-17 Rev. 0	Retain for 3 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) ESSENTIAL OFM
5.21	WATER LOGS <i>Note: See 18 CFR §125.3 13.1(e).</i>	UT55-05D-18 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
5.22	WATER/RIVER FLOW REPORTS <i>Note: See 18 CFR §125.3 13.1(f).</i>	UT55-05D-19 Rev. 0	Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives.	ARCHIVAL (Permanent Retention) ESSENTIAL OPR



6. SEWER AND WATER SYSTEM DOCUMENTATION

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
6.1	BACKFLOW INCIDENT RECORDS Documentation of incidents of backflow contamination in water systems. <i>Note: See WAC 246-290-490 (8)(a)(iii).</i>	UT55-06A-03 Rev. 0	5 years	NON-ARCHIVAL NON-ESSENTIAL OPR
6.2	BACKFLOW PREVENTER INSPECTION AND INVENTORY Documentation required to be maintained on individual approved backflow preventers installed at water system service connections. <i>Note: See WAC 246-290-490 (8)(a)(ii).</i>	UT55-06A-01 Rev. 0	5 years or life of backflow preventer, whichever is shorter.	NON-ARCHIVAL NON-ESSENTIAL OFM
6.3	BACKFLOW PREVENTER MASTER LIST Master list of connections and premises for which backflow preventers are required, including names and addresses of owners. <i>Note: See WAC 246-290-490 (8)(a)(i).</i>	UT55-06A-02 Rev. 0	Retain documentation of individual backflow preventers until connection no longer pose a contamination threat to the water distribution system.	NON-ARCHIVAL NON-ESSENTIAL OPR
6.4	CAPACITY STUDIES – SEWAGE TREATMENT PLANTS Studies of peak and average flow used to evaluate the status of treatment plant operating capacity.	UT55-06B-01 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
6.5	CHEMICAL ANALYSIS REPORTS – REGULATORY COMPLIANCE Records are compilations of finished data used to document compliance with State and Fed water quality regulations. Includes but is not limited to, annual inorganic reports and additional data summaries used to document compliance with State water quality regulations. <i>Note: See 40 CFR § 141.33 and WAC 246-290-480(a).</i>	UT55-06A-27 Rev. 0	Retain for the life of the water system <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
6.6	CHEMICAL RAW DATA RECORDS – REGULATORY COMPLIANCE Records document chemical testing results of water samples taken from various locations throughout the water system and supply sources. Used to document compliance with State drinking water regulations. May include tab worksheets, sample run data, calibration test results, lab notebooks, bench sheets, etc. <i>Note: See 40 CFR § 141.33; WAC 246-290-480(a).</i>	UT55-06A-28 Rev. 0	Life of water system	NON-ARCHIVAL NON-ESSENTIAL OPR
6.7	CROSS-CONNECTION CONTROL ANNUAL SUMMARY REPORTS Annual reports summarizing cross-connection control activities by water utilities required by the Washington State Department of Health. <i>Note: See WAC 246-290-490 (8)(a)(iii).</i>	UT55-06A-25 Rev. 0	5 years	NON-ARCHIVAL NON-ESSENTIAL OPR
6.8	DEFECTIVE SIDE SEWER NOTICE Notification sent to individual property owners with defective side sewers, including a description of defects and requirements for repair.	UT55-06A-35 Rev. 0	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
6.9	DISCHARGE MONITORING REPORTS – SEWAGE TREATMENT PLANTS Daily reports required by the Washington State Department of Ecology.	UT55-06B-02 Rev. 0	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
6.10	EQUIVALENT CUSTOMER UNIT (ECU) REPORTS – SEWAGE TREATMENT PLANTS Annual report on volume of customers served by treatment plant.	UT55-06B-03 Rev. 0	6 years	NON-ARCHIVAL NON-ESSENTIAL OFM
6.11	FACILITY RETIREMENT AUTHORIZATION – SEWER AND WATER SYSTEM DOCUMENTATION Official authorization for facility retirement, including basis of determination and estimates of cost.	UT55-06A-04 Rev. 0	Disposition or sale of facility plus 10 years	NON-ARCHIVAL NON-ESSENTIAL OPR



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
6.12	FACILITY RETIREMENT WORK ORDER – SEWER AND WATER SYSTEM DOCUMENTATION Basic record of facility removal and replacement.	UT55-06A-05 Rev. 0	Disposition or sale of facility plus 10 years	NON-ARCHIVAL NON-ESSENTIAL OPR
6.13	FLOW RECORD – WATER SYSTEM DOCUMENTATION Documentation of volume in distribution system.	UT55-06A-06 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
6.14	FLOW REPORTS – SEWAGE TREATMENT PLANTS Daily reports of influent and effluent flow.	UT55-06B-04 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
6.15	FLUORIDE CHARTS – WATER SYSTEM DOCUMENTATION Test reports showing water usage and amount of fluoride in water system.	UT55-06A-07 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
6.16	GRINDER PUMP MAINTENANCE AND LOCATION RECORDS – SEWER AND WATER SYSTEM DOCUMENTATION	UT55-06A-08 Rev. 0	Life of equipment	NON-ARCHIVAL ESSENTIAL OFM
6.17	HISTORY FILES – SEWAGE TREATMENT PLANTS Documentation of plant operations and compliance with state and federal permit requirements.	UT55-06B-07 Rev. 0	Retain for the life of the facility plus 6 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) ESSENTIAL OPR
6.18	HYDRANT RECORDS – WATER SYSTEM DOCUMENTATION Documentation of hydrant location, specifications, maintenance history, etc.	UT55-06A-09 Rev. 0	Life of equipment	NON-ARCHIVAL ESSENTIAL OFM



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
6.19	INDUSTRIAL WASTE PERMITS – SEWER SYSTEM DOCUMENTATION Permits issued to industrial customers allowing them to discharge industrial waste into the local government sewer system.	UT55-06A-10 Rev. 0	Retain for 6 years after expiration of permit <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) ESSENTIAL OPR
6.20	INSPECTION AND MONITORING REPORTS – SEWER AND WATER SYSTEM DOCUMENTATION Reports on the system operating conditions such as chlorine test, laboratory reports, television surveillance tapes, telemetry, etc.	UT55-06A-17 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
6.21	LABORATORY PERFORMANCE EVALUATIONS – SEWAGE TREATMENT PLANTS Periodic blind test performed by the Washington State Department of Ecology.	UT55-06B-05 Rev. 0	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
6.22	LEAD AND COPPER COMPLIANCE RECORDS Records used to document compliance with State and Federal drinking water regulations related to lead and copper monitoring. May include sampling data and analyses, reports, surveys, letters, evaluations, schedules, etc. <i>Note: See 40 CFR § 141.91.</i>	UT55-06A-29 Rev. 0	End of calendar year plus 12 years	NON-ARCHIVAL NON-ESSENTIAL OPR
6.23	LIMNOLOGY REPORTS Reports summarize long-term data used to evaluate changes in reservoir water quality and ecology. Includes biological, chemical, and physical data related to the water body in addition to conclusions and recommendations for improved water quality.	UT55-06A-30 Rev. 0	Life of the water system	NON-ARCHIVAL NON-ESSENTIAL OPR
6.24	MANHOLE RECORDS – SEWER AND WATER SYSTEM DOCUMENTATION Documentation of location, installation, size, flow direction, maintenance, materials, etc.	UT55-06A-11 Rev. 0	PERMANENT	NON-ARCHIVAL ESSENTIAL OPR



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
6.25	MAPS AND GEOGRAPHIC DATA – SEWER AND WATER SYSTEM DOCUMENTATION	UT55-06A-18 Rev. 0	PERMANENT	ARCHIVAL (Appraisal Required) ESSENTIAL OPR
6.26	METER RECORDS – SEWER AND WATER SYSTEM DOCUMENTATION Account of water meter installation, serial number, location, etc.	UT55-06A-12 Rev. 0	Life of equipment	NON-ARCHIVAL ESSENTIAL OPR
6.27	OPERATIONS AND MAINTENANCE MANUALS – SEWAGE TREATMENT PLANTS	UT55-06B-06 Rev. 0	PERMANENT	NON-ARCHIVAL ESSENTIAL OPR
6.28	OPERATORS LOG – SEWAGE TREATMENT PLANTS	UT55-06B-08 Rev. 0	PERMANENT	NON-ARCHIVAL ESSENTIAL OPR
6.29	PIPE RECORDS – SEWER AND WATER SYSTEM DOCUMENTATION Records of pipe installation, location, specifications, maintenance history, etc.	UT55-06A-13 Rev. 0	Life of equipment	NON-ARCHIVAL ESSENTIAL OFM
6.30	POLLUTION AND POLLUTION CONTROL STUDIES – SEWER AND WATER SYSTEM DOCUMENTATION Studies and reports regarding levels and means of control for water, air and other types of pollution caused by district facilities and operations.	UT55-06A-14 Rev. 0	Retain for 5 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
6.31	POLLUTION CONTROL INSPECTION REPORTS – SEWER AND WATER SYSTEM DOCUMENTATION Reports on levels of pollutants being discharged, processed, and removed through the system. Also measurements of pollutants in system's effluent.	UT55-06A-15 Rev. 0	Retain for 6 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
6.32	PROJECT FILES – SEWER AND WATER SYSTEM DOCUMENTATION Official account of various water system construction projects, including work orders, ledgers, studies, etc.	UT55-06A-19 Rev. 0	Life of facility plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
6.33	SANITARY SURVEY COMPLIANCE FILES Records document the agency's response to sanitary survey findings. May include list of findings or deficiencies submitted by the State, documentation of corrective action taken or explanations of why repairs cannot be made, out of service orders, spreadsheets used to track completion of repairs, and additional supporting documentation. <i>Note: See WAC 246-290-480(c).</i>	UT55-06A-31 Rev. 0	Completion of survey and applicable corrective action plus 10 years.	NON-ARCHIVAL NON-ESSENTIAL OPR
6.34	SEWER JETTING AND VACTORING RECORDS Documentation of routine cleaning of sewer lines.	UT55-06A-16 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
6.35	SURFACE WATER GROUNDWATER PERMIT FILES Documents the amount, function, and use of surface and groundwater. Includes background and permit files	UT55-06B-12 Rev. 0	Termination of permit plus 6 years.	NON-ARCHIVAL NON-ESSENTIAL OPR
6.36	VALVE RECORDS – SEWER AND WATER SYSTEM DOCUMENTATION Account of valve location, specifications, maintenance history, etc.	UT55-06A-20 Rev. 0	Life of equipment	NON-ARCHIVAL ESSENTIAL OFM
6.37	VIBRATION ANALYSIS DATA – SEWAGE TREATMENT PLANTS Data collected on treatment plant equipment for use in preventative maintenance and troubleshooting.	UT55-06B-10 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
6.38	WATER AND SEWER SYSTEM COMPREHENSIVE PLANS	UT55-06A-22 Rev. 0	PERMANENT	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
6.39	WATER AND SEWER SYSTEM EMERGENCY INCIDENT REPORTS Reports documenting incidents that damage or disrupt the operation of water and sewer systems, including date, time, type of incident, and measures taken to resolve the problem, clean up contaminants and restore service.	UT55-06A-26 Rev. 0	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
6.40	WATER AVAILABILITY / SEWER SYSTEM HOOKUP REQUEST FORMS May be required for building permit for properties hooked up to a provider's water supply and/or sewer system.	UT55-06A-36 Rev. 0	2 years	NON-ARCHIVAL NON-ESSENTIAL OFM
6.41	WATER CONSUMPTION REPORTS – SEWAGE TREATMENT PLANTS	UT55-06B-11 Rev. 0	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
6.42	WATER FACILITIES INVENTORY (WFI) FORM Inventory of water system updated and reported annually to the Washington State Department of Health. Information includes identification of water sources, number of connections, population served, type of treatment used, type of system, contact information, etc.	UT55-06A-32 Rev. 0	End of calendar year plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
6.43	WATER QUALITY MONITORING WAIVERS Requests submitted to the Washington State Department of Health for exceptions from the water quality monitoring requirements. May include waiver application, approval/denial from State, correspondence, etc. <i>Note: See 40 CFR § 141-33(d).</i>	UT55-06A-33 Rev. 0	Upon revocation, expiration or denial of waiver plus 6 years.	NON-ARCHIVAL NON-ESSENTIAL OPR



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
6.44	<p>WATER QUALITY VIOLATION NOTICES</p> <p>Records are notices to consumers informing them when water supply is out of compliance with drinking water regulations. Information includes description of violation, violation date, populations affected, actions consumers can take, summary of corrective action, etc. Also includes documentation of notice distribution (media, web, mail, etc.).</p> <p><i>Note: See WAC 246-290-480(f).</i></p>	UT55-06A-34 Rev. 0	<p>Retain for 6 years after issuance of notice <i>then</i> Arrange for appraisal by Washington State Archives.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>
6.45	<p>WATER TEST REPORTS</p> <p>Tests and correspondence related to Health Department or District requirements.</p>	UT55-06A-21 Rev. 0	6 years	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>
6.46	<p>WILDLIFE HABITAT MANAGEMENT PLAN – SEWER AND WATER SYSTEM DOCUMENTATION</p>	UT55-06A-23 Rev. 0	PERMANENT	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>



7. SURFACE WATER DRAINAGE DOCUMENTATION

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
7.1	DIKING AND DRAINAGE DISTRICT HISTORY FILES Documentation on the formation, location, and activities in each district.	UT50-27-01 Rev. 0	Retain until no longer needed for agency business <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
7.2	DIKING AND DRAINAGE FACILITY MAINTENANCE HISTORY FILES Documentation of ongoing inspection and maintenance.	UT50-27-02 Rev. 0	Life of facility.	NON-ARCHIVAL NON-ESSENTIAL OPR
7.3	DIKING AND DRAINAGE MAINTENANCE PROJECT FILES Documentation of requests for funding and execution of non-routine maintenance projects.	UT50-27-03 Rev. 0	Completion of project plus 6 years.	NON-ARCHIVAL NON-ESSENTIAL OPR
7.4	DRAINAGE AND WATER QUALITY COMPLAINT AND INVESTIGATION FILES Complaints filed by citizens regarding drainage and surface water quality conditions in areas of agency jurisdiction.	UT50-27-04 Rev. 0	Retain for 6 years after resolution of complaint <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
7.5	DRAINAGE BASIN AND WATERSHED HISTORY FILES Background documentation for planning and capital improvement projects as well as lawsuits.	UT50-27-05 Rev. 0	Retain until no longer needed for agency business <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
7.6	FLOOD CONTROL PLAN Comprehensive management plans for flood control within the agency's jurisdiction.	UT50-27-06 Rev. 0	Clerk of governing council, commission, or board - PERMANENT - 1 copy archival.	ARCHIVAL (Appraisal Required) ESSENTIAL OPR
7.7	FLOOD CONTROL PLAN DEVELOPMENT FILES Documentation of the development of the agency's current flood control plan.	UT50-27-07 Rev. 0	Retain until no longer needed for agency business <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
7.8	FLOOD DAMAGE SURVEY REPORTS Documentation of physical and monetary damage done by individual floods submitted in support of requests for federal disaster assistance aid.	UT50-27-08 Rev. 0	Retain for 6 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) ESSENTIAL OPR
7.9	FLOOD FILES Documentation of significant individual floods and flooding issues.	UT50-27-09 Rev. 0	Retain for 6 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
7.10	MONITORING, TEST AND SAMPLE DATA SURFACE WATER, DRAINAGE, AND FLOOD CONTROL Surface water, flood, and drainage related data collected by the agency, including stream flow, rainfall, and water samples.	UT50-27-10 Rev. 0	Retain for 6 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
7.11	NATIONAL POLLUTANT DISCHARGE ELIMINATION SYSTEM (NPDES) PERMIT – SURFACE WATER, DRAINAGE, AND FLOOD CONTROL	UT55-06A-24 Rev. 0	Retain for 6 years after expiration of permit <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
7.12	PLANNING REPORTS, STUDIES, MODELS AND ANALYSIS – SURFACE WATER, DRAINAGE, AND FLOOD CONTROL	UT50-01-57 Rev. 0	Retain for 5 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
7.13	RIVER MANAGEMENT PROJECT FILES Document requests for funding and execution of river improvement projects.	UT50-27-12 Rev. 0	Retain for 6 years after completion of project <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
7.14	RIVER MODELING FILES Documentation of characteristics and conditions of individual rivers used for developing plans and projects.	UT50-27-13 Rev. 0	Retain until no longer needed for agency business <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
7.15	SURFACE WATER/DRAINAGE CAPITAL IMPROVEMENT PROJECTS Documentation of design and development work done on construction projects intended to relieve drainage and other surface water management problems. <i>Note: For construction project files, plans, and specifications retention requirements, see the Public Works - Engineering section in the Local Government General Records Retention Schedule (LGRRS).</i>	UT50-27-15 Rev. 0	Retain for 6 years after completion of project <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
7.16	SURFACE WATER MANAGEMENT PROJECT PLANS AND SPECIFICATIONS	UT50-27-14 Rev. 0	Retain for 6 years after completion of project <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) ESSENTIAL OPR
7.17	WATER QUALITY PROJECT FILES – SURFACE WATER, DRAINAGE, AND FLOOD CONTROL Documentation of planning projects for improvement of surface water quality.	UT50-27-16 Rev. 0	Retain for 6 years after completion of project <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
7.18	WATERSHED MANAGEMENT POLICY FILES Background documentation for agency surface water management policy development projects.	UT50-27-17 Rev. 0	Retain for 6 years after completion of project <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM



8. UTILITIES ACCOUNTING

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
8.1	BILLING STATEMENTS (CARDS) Statements of money due for utility services, including amount due, balance, account number, and customer's name.	UT55-05B-01 Rev. 0	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
8.2	BILLING STUBS	UT55-05B-02 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
8.3	BILLING SUMMARIES (REGISTERS)	UT55-05B-03 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
8.4	COLLECTION AGENCY REPORTS	UT55-05B-04 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
8.5	CUSTOMER ACCOUNT ADJUSTMENT FILES Includes applications for low income/senior discount/rate reduction.	UT55-05B-05 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
8.6	CUSTOMER ACCOUNT INDEX	UT55-05B-06 Rev. 0	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OFM
8.7	CUSTOMER CREDIT FILES	UT55-05B-07 Rev. 0	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OFM
8.8	DELINQUENT ACCOUNT LISTS	UT55-05B-08 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
8.9	DEPOSIT RECEIPTS	UT55-05B-09 Rev. 0	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
8.10	DEPOSIT REGISTER	UT50-03B-15 Rev. 0	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
8.11	DISCONNECTION NOTICES	UT55-05B-11 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
8.12	ELECTRIC UTILITY ADVERTISEMENTS File copies of advertisements for service provided by electric utilities as individual entities or as part of a larger group. <i>Note: See 18 CFR §125.3 3(42).</i>	UT55-05B-13 Rev. 0	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
8.13	ELECTRIC UTILITY GENERAL AND SUBSIDIARY LEDGERS, JOURNALS, AND INDEXES Ledgers, journals, and indexes documenting funds and functions relating to the finances of electric utilities. <i>Note: See 18 CFR §125.3 6(a).</i>	UT55-05B-12 Rev. 0	10 years	NON-ARCHIVAL ESSENTIAL OPR
8.14	ELECTRIC UTILITY PLANT LEDGERS <i>Note: See 18 CFR §125.3 16(a).</i>	UT55-05B-28 Rev. 0	25 years	NON-ARCHIVAL NON-ESSENTIAL OPR
8.15	FEDERAL AND STATE REGULATORY COMMISSIONS Includes annual financial, operating and statistical and PURPA reports. <i>Note: See 18 CFR §125.3 41.</i>	UT55-05B-14 Rev. 0	5 years	NON-ARCHIVAL NON-ESSENTIAL OPR



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
8.16	FINAL CLOSURE OF ACCOUNT SCHEDULES	UT55-05B-15 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
8.17	JOURNAL VOUCHERS AND INDEXES FOR ELECTRIC UTILITIES <i>Note: See 18 CFR §125.3 8(a).</i>	UT55-05B-17 Rev. 0	10 years	NON-ARCHIVAL ESSENTIAL OPR
8.18	LOW INCOME/SENIOR CITIZEN DISCOUNT/TAX EXEMPTION APPLICATIONS	UT55-05B-27 Rev. 0	Termination plus 6 years.	NON-ARCHIVAL NON-ESSENTIAL OPR
8.19	METER READING CARDS	UT55-05B-19 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
8.20	RATE AND BILLING SYSTEM DEVELOPMENT DOCUMENTATION Service rate calculations and documentation on billing and collection systems. <i>Note: See 18 CFR §125.3 30.</i>	UT55-05B-20 Rev. 0	Completion of rate schedule plus 6 years.	NON-ARCHIVAL NON-ESSENTIAL OFM
8.21	RATE AND COLLECTION SYSTEM REVISION NOTICES Notices to customers of changes in billing rates and collection policies and procedures.	UT55-05B-21 Rev. 0	Destroy when obsolete or superseded.	NON-ARCHIVAL NON-ESSENTIAL OFM
8.22	RATE SCHEDULES Official proceedings and approval. <i>Note: See 18 CFR §125.3 30.</i>	UT55-05B-22 Rev. 0	Clerk of governing council, commission or board - PERMANENT - 1 copy archival.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
8.23	SERVICE APPLICATIONS	UT55-05B-24 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
8.24	SERVICE ORDERS	UT55-05B-25 Rev. 0	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
8.25	UNCOLLECTABLE ACCOUNT LISTS	UT55-05B-26 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
8.26	UTILITY CUSTOMER DEPOSIT LISTING <i>Note: See 18 CFR §125.3 36.</i>	UT55-05B-29 Rev. 0	Termination of account plus 3 years.	NON-ARCHIVAL NON-ESSENTIAL OPR
8.27	UTILITY METER READINGS/USAGE DOCUMENTATION	UT55-05B-18 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM



9. NUCLEAR UTILITIES

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
9.1	<p>Corrective Action Reports – Quality Assurance Records (Lifetime) Lifetime Quality Assurance Records as defined by American National Standards Institute (ANSI) standard N45.2.9 and relating to the identification, cause, and corrective action of a condition adverse to quality.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Failures, malfunctions, deficiencies, and deviations; • Defective material and equipment; • Nonconformance. <p><i>Note: See ANSI N45.2.9-1974 Appendix A reference to Nonconformance Reports and ANSI N45.2.9-1974 section 2.2.1 for definition of Lifetime Quality Assurance Record.</i></p>	UT2011-155 Rev.0	<p>Retain for 6 years after plant decommissioned <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) ESSENTIAL OPR</p>
9.2	<p>Corrective Action Reports – Quality Assurance Records (Nonpermanent) Nonpermanent Quality Assurance Records as defined by American National Standards Institute (ANSI) standard N45.2.9 and relating to the identification, cause, and corrective action of a condition adverse to quality.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Principal maintenance activities; • Inspections and calibrations. <p><i>Note: See ANSI N45.2.9-1974 Appendix A section A.6.1 reference to records designated as Nonpermanent and ANSI N45.2.9-1974 section 2.2.2 for definition of Nonpermanent Quality Assurance Record.</i></p>	UT2011-156 Rev. 0	<p>Retain for 6 years after matter resolved <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
9.3	<p>Employee Assignment History Records documenting employee (includes contractors and volunteers) work assignments and activities at the nuclear facility, which may be used to reconstruct a worker's history and thus estimate their radiation dose.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Work orders (preventative maintenance, elective maintenance, corrective maintenance, scaffolding permits, surveillance tests, tag-outs, etc.); • Work assignments; • Job control plans; • Job briefings; • Dosimeter and protective clothing requirements. <p><i>Note: See ANI Information Bulletin 80-1A Section V and ANSI N45.2.9 Appendix A section A.6.</i></p>	UT2011-157 Rev. 0	<p>Retain for 100 years after employee's date of birth <i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>
9.4	<p>Nuclear Operations – Quality Assurance Records (Lifetime) Lifetime Quality Assurance Records as defined by American National Standards Institute (ANSI) standard N45.2.9 and relating to operations following the startup of the nuclear plant facility.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Fuel program quality assurance records (fuel inspection records, fuel design documents, as-built fuel QA records, nuclear materials accountability records); • Unit design modifications made to systems and equipment described in the plant or ISFSI Final Safety Analysis Report; • Transient or operational cycling records for those plant components designed to operate safely for a limited number of transients or operation cycles. <p><i>Note: See ANSI N45.2.9 Appendix A sections A.6 for additional examples.</i></p>	UT2011-158 Rev. 0	<p>Retain for 6 years after plant decommissioned <i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) ESSENTIAL OPR</p>



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
9.5	<p><i>Nuclear Operations – Quality Assurance Records (Nonpermanent)</i> Nonpermanent Quality Assurance Records as defined by American National Standards Institute (ANSI) standard N45.2.9 and relating to operations following the startup of the nuclear plant facility.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Normal nuclear unit operation, including power levels and periods of operation at each power level; • Reportable occurrence records, where a copy of the records has been sent to the United States Nuclear Regulatory Commission (U.S.NRC) for permanent retention in accordance with National Archives and Records Administration (NARA) Control Number N1-431-87-1 or N1-431-00-19; • Records of surveillance activities, inspections, and calibrations required by the plant and independent spent fuel storage installation (ISFSI) technical specifications; • Principal maintenance activities, including inspection, repair, substitution or replacement of principal items of equipment pertaining to nuclear safety; • Special reactor test or experiment records. <p>Excludes records covered by UT2011-157 and UT2011-162.</p> <p><i>Note: See ANSI N45.2.9 Appendix A sections A.6 for additional examples.</i></p>	UT2011-159 Rev. 0	Retain for 6 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
9.6	<p><i>Pre-Operational Phase – Quality Assurance Records (Lifetime)</i> Lifetime Quality Assurance Records as defined by American National Standards Institute (ANSI) standard N45.2.9 and relating to the initial construction and startup of the nuclear power facility.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Major defect repair records; • Final inspection reports and releases; • Startup test procedures and results; • Reactor protection system tests and results. <p><i>Note: See ANSI N45.2.9-1974 Appendix A sections A.1 – A.5 for additional examples. Nonpermanent pre-operational phase quality assurance records are covered by CORE series Construction Project Files (GS50-18-10).</i></p>	UT2011-160 Rev. 0	<p>Retain for 6 years after plant decommissioned <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) ESSENTIAL OPR</p>
9.7	<p><i>Radiological Indoctrination, Training and Retraining</i> Records relating to the radiation protection training of employees (including contractors), visitors, and escorted personnel, which provide evidence of training/education/sufficient warning of radiation hazards and safe work practices.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Instructor manuals, syllabi, lesson plans, handouts, rules, quizzes, tests, video and audio instruction materials with the dates and lessons in which they were used; • Responses, acknowledgements of training, and attendance sheets with attendees' signatures; • Initial and periodic quantitative respirator fit tests. <p><i>Note: See ANI Information Bulletin 80-1A Section II.</i></p>	UT2011-161 Rev. 0	<p>Retain for 100 years after date of training <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) ESSENTIAL OPR</p>



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
9.8	<p><i>Radiological/Contamination Monitoring</i></p> <p>Records relating to the processes, equipment used, and results for the monitoring of radiological contamination.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Plant radiation and contamination surveys; • Environmental licensing, monitoring and effluent measure records; • Radioactive shipment and release/waste disposal reports; • Instrumentation and calibration records; • Equipment tests; • Sealed source and fission detector leak tests and results; • Annual physical inventory of all sealed source material of record. <p><i>Note: See ANI Information Bulletin 80-1A Section III and IV.</i></p>	UT2011-162 Rev. 0	<p>Retain for 100 years after end of calendar year <i>or</i> 50 years after plant decommissioned, <i>whichever is later then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) ESSENTIAL OPR</p>



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
9.9	<p>Security Monitoring (Nuclear Facilities) – No Incident</p> <p>Records relating to the implementation of security programs and contingency plans designed to prevent (and respond to) threats, thefts, and sabotage relating to special nuclear material, high-level radioactive wastes, nuclear facilities, and other radioactive materials and activities regulated by the United States Nuclear Regulatory Commission (U.S.NRC), where no incident has occurred.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Routine patrol logs; • Access/entry logs; • Vital area door tests; • Records relating to the protection of safety-related systems. <p>Excludes official agency policy and procedure directives and plans (physical security, local law enforcement, cyber security, etc.) covered by CORE DAN GS50-01-24.</p> <p><i>Note: See 10 CFR 73.54 and 10 CFR 73.55.</i></p>	UT2011-163 Rev. 0	Retain for 3 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
9.10	<p><i>Security Monitoring (Nuclear Facilities) – Incident</i></p> <p>Records relating to the investigation of threats, thefts, and sabotage (actual or suspected) relating to special nuclear material, high-level radioactive wastes, nuclear facilities, and other radioactive materials and activities regulated by the United States Nuclear Regulatory Commission (U.S.NRC), <i>where an incident <u>has</u> occurred.</i></p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Investigation records and reports; • Routine patrol logs; • Access/entry logs; • Vital area door tests; • Records relating to the protection of safety-related systems. <p>Excludes official agency policy and procedure directives and plans (physical security, local law enforcement, cyber security, etc.) covered by CORE DAN GS50-01-24.</p> <p><i>Note: See 10 CFR 73.54 and 10 CFR 73.55.</i></p> <p><i>Note: If litigation commences, these records become part of the litigation case file and are covered by GS53-02-04.</i></p>	UT2011-164 Rev. 0	<p>Retain for 6 years after investigation finalized <i>then</i></p> <p>Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) ESSENTIAL OPR</p>



GLOSSARY

Appraisal

The process of determining the value and disposition of records based on their current administrative, legal, and fiscal use; their evidential and informational or research value; and their relationship to other records.

Archival (Appraisal Required)

Public records which may possess enduring legal and/or historic value and must be appraised by the Washington State Archives on an individual basis.

Public records will be evaluated, sampled, and weeded according to archival principles by archivists from Washington State Archives (WSA). Records not selected for retention by WSA may be disposed of after appraisal.

Archival (Permanent Retention)

Public records which possess enduring legal and/or historic value and must not be destroyed. Local government agencies must either transfer these records to Washington State Archives or retain and preserve these records according to archival best practices until such time as they are transferred to Washington State Archives (WSA).

WSA will not sample, weed, or otherwise dispose of records fitting the records series description designated as "Archival (Permanent Retention)" other than the removal of duplicates. Master indexes, lists, registers, tracking systems, databases and other finding aids for public records designated as Archival should be retained with the records and transferred to Washington State Archives.

ANI

American Nuclear Insurers.

A joint underwriting association created by insurance companies in the United States with a purpose to pool the financial assets pledged by member companies to provide the significant amount of property and liability insurance required for nuclear power plants and related facilities throughout the world.

ANSI

American National Standards Institute.

A private not-for-profit organization with a purpose to coordinate the development of voluntary consensus standards for products, processes and systems in the United States.

BAL

Resource and Demand Balancing reliability standards.

Standards issued by the North American Electric Reliability Corporation to which bulk electric systems of North America must adhere.



CFR

Code of Federal Regulations.

The codification of the general and permanent rules published in the Federal Register by the executive departments and agencies of the Federal Government.

CIP

Critical Infrastructure Protection.

Standards issued by the North American Electric Reliability Corporation to which bulk electric systems of North America must adhere.

Disposition

Actions taken with records when they are no longer required to be retained by the agency.

Possible disposition actions include transfer to Washington State Archives and destruction.

Disposition Authority Number (DAN)

Control numbers systematically assigned to records series or records retention schedules when they are approved by the Local Records Committee.

Essential Records

Public records that local government agencies must have in order to maintain or resume business continuity following a disaster. While the retention requirements for essential records may range from very short-term to archival, these records are necessary for an agency to resume its core functions following a disaster.

Security backups of these public records should be created and may be deposited with Washington State Archives in accordance with chapter 40.10 RCW. Copies of master indexes, lists, registers, tracking systems, databases and other finding aids should also be transferred with the records.

INT

Interchange Scheduling and Coordination reliability standards.

Standards issued by the North American Electric Reliability Corporation to which bulk electric systems of North America must adhere.

IRO

Interconnection Reliability Operations and Coordination reliability standards.

Standards issued by the North American Electric Reliability Corporation to which bulk electric systems of North America must adhere.



Lifetime Quality Assurance Records (as defined in ANSI N45.2.9 – 1974, Section 2.2.1)

2.2.1 Lifetime Quality Assurance Records. Lifetime records are those which meet one or more of the following criteria:

1. Those which would be of significant value in demonstrating capability for safe operation.
2. Those which would be of significant value in maintaining, reworking, repairing, replacing, or modifying the item.
3. Those which would be of significant value in determining the cause of an accident or malfunction of an item.
4. Those which provide required baseline data for inservice inspection.

Local Records Committee

The committee established by RCW 40.14.070 to review and approve disposition of local government records.

Its three members include the State Archivist and one representative each from the Offices of the Attorney General and the State Auditor.

Migration

The periodic transfer of data from one electronic system to another in order to ensure continued integrity and accessibility of data despite changes over time in hardware, software, and storage media.

Non-Archival

Public records which do not possess sufficient historic value to be designated as “Archival”. Agencies must retain these records for the minimum retention period specified by the appropriate, current records retention schedule.

Agencies should destroy these records after their minimum retention period expires, provided that the records are not required for litigation, public records requests, or other purposes required by law.

Non-Essential Records

Public records which are not required in order for an agency to resume its core functions following a disaster, as described in chapter 40.10 RCW.

Nonpermanent Quality Assurance Records (as defined in ANSI N45.2.9 – 1974, Section 2.2.2)

2.2.2 Nonpermanent Quality Assurance Records. Nonpermanent Records are those which meet all of the following criteria:

1. Those of no significant value in demonstrating capability for safe operation.
2. Those of no significant value in maintaining, reworking, repairing, replacing, or modifying the item.
3. Those of no significant value in determining the cause of an accident or malfunction of an item.
4. Those which do not provide baseline data for inservice inspection.



Obsolete

Public records which are no longer relevant to current program or primary functional responsibilities of a department or office.

Office of Record

The group, department, or office within an agency responsible for maintaining a primary record from creation (or receipt) through disposition.

OFM (Office Files and Memoranda)

Public records which have been designated as “Office Files and Memoranda” for the purposes of RCW 40.14.010.

RCW 40.14.010 – Definition and classification of public records.

(2) “Office files and memoranda include such records as correspondence, exhibits, drawings, maps, completed forms, or documents not above defined and classified as official public records; duplicate copies of official public records filed with any agency of the state of Washington; documents and reports made for the internal administration of the office to which they pertain but not required by law to be filed or kept with such agency; and other documents or records as determined by the records committee to be office files and memoranda.”

OPR (Official Public Records)

Public records which have been designated as “Official Public Records” for the purposes of RCW 40.14.010.

RCW 40.14.010 – Definition and classification of public records.

(1) “Official public records shall include all original vouchers, receipts, and other documents necessary to isolate and prove the validity of every transaction relating to the receipt, use, and disposition of all public property and public income from all sources whatsoever; all agreements and contracts to which the state of Washington or any agency thereof may be a party; all fidelity, surety, and performance bonds; all claims filed against the state of Washington or any agency thereof; all records or documents required by law to be filed with or kept by any agency of the state of Washington; ... and all other documents or records determined by the records committee... to be official public records.”

Permanent – See **Archival (Permanent Retention)** and **Non-Archival**.

Potentially Archival or **Potential Archival Value** – See **Archival (Appraisal Required)**.

Primary Records

The original record (whether created or received by the agency) which serves as the official record, and must be retained in accordance with a current approved records retention schedule.



Public Records

RCW 40.14.010 – Definition and classification of public records.

"... The term "public records" shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business..."

Records Series

A group of records, performing a specific function, which is used as a unit, filed as a unit, and may be transferred or destroyed as a unit. A records series may consist of a single type of form or a number of different types of documents that are filed together to document a specific function.

Secondary Records

Copies (or duplicates) of the agency's primary records used for specific legal, fiscal, or administrative purposes.

Secondary records exist for convenience of reference, or for informational purposes, and may be discarded when no longer needed for agency business in accordance with GS50-02-04.

Security Microfilm

Silver duplicate or first-generation microfilm which is stored at Washington State Archives under strictly-controlled environmental conditions and serves as an emergency/disaster back-up, in accordance with chapter 40.10 RCW.

Washington State Archives provides security microfilm storage and inspection services to local government agencies.

U.S.NRC

United States Nuclear Regulatory Commission.

An independent agency of the United States government with a purpose to regulate commercial nuclear power plants and other uses of nuclear materials, such as in nuclear medicine, through licensing, inspection, and enforcement of its requirements.



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"LGRRS" refers to the Local Government General Records Retention Schedule.

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**For assistance and advice in applying this records retention schedule,
please contact Washington State Archives at: recordsmanagement@sos.wa.gov or contact your Regional Archivist.**

III. NEW BUSINESS/ACTION ITEMS

A. Local Government Common Records Retention Schedule (CORE) Version 2.2

- Revision Guide



This schedule applies to: All Local Government Agencies

Scope of records retention schedule

This records retention schedule covers the public records of all local government agencies relating to the common functions of the management of the agency, and management of the agency's assets, finances, human resources and information resources. It is to be used in conjunction with the other approved schedules that relate to the functions of the agency.

All current approved records retention schedules can be accessed online at: <http://www.sos.wa.gov/archives/RecordsRetentionSchedules.aspx>.

Disposition of public records

Public records covered by records series within this records retention schedule must be retained for the minimum retention period as specified in this schedule. Washington State Archives strongly recommends the disposition of public records at the end of their minimum retention period for the efficient and effective management of local resources.

Public records designated as Archival (Permanent Retention), Permanent, or Non-Archival (with a retention period of "Life of the Agency") must not be destroyed. Records designated as Archival (Appraisal Required) or Potentially Archival must be appraised by the Washington State Archives before disposition. Public records must not be destroyed if they are subject to ongoing or reasonably anticipated litigation. Such public records must be managed in accordance with the agency's policies and procedures for legal holds. Public records must not be destroyed if they are subject to an existing public records request in accordance with [chapter 42.56 RCW](#). Such public records must be managed in accordance with the agency's policies and procedures for public records requests. In addition to the minimum retention requirements specified in this schedule, there may be additional (longer) retention requirements mandated by federal, state and/or local statute, grant agreement, and/or other contractual obligations.

Revocation of previously issued records retention schedules

All previously approved disposition authorities for records that are covered by this retention schedule are revoked, including those listed in all general and agency unique retention schedules. Local government agencies should take measures to ensure that the retention and disposition of public records is in accordance with current approved records retention schedules.

Authority

This records retention schedule was approved by the Local Records Committee in accordance with [RCW 40.14.070](#) on December 15, 2011.



REVISION HISTORY

Version	Date of Approval	Extent of Revision
1.0	December 16, 2008	Consolidation of existing records series common to all local government agencies (from all local government general schedules) into a single records retention schedule. No changes to records series titles, descriptions, retention periods, disposition authority numbers (DANs), or archival designations. EXCEPTION: All duplicate DANs have been assigned new DANs. New series relating to Electronic Imaging Systems (EIS) source documents (DAN 50-09-14).
2.0	January 28, 2010	Complete revision of Information Management function. New Records Conversion activity created. Library records series transferred from <i>Local Government General Records Retention Schedule (LGRRS) Version 5.0</i> and updated. Electronic Information Systems activity completely revised and placed in Asset Management function. New archival designations introduced in all <i>new and revised</i> records series. (Definitions can be found in the Glossary.) Revision numbers have been added to all Disposition Authority Numbers (DANs). A new section, Records with Minimal Retention Value, covers records previously covered by GS50-02 (which has been discontinued). Removed "Secondary Copy" and "Remarks" columns in all activities with <i>new and revised</i> records series. Also removed extraneous notes about revisions and corrections in all records series.
2.1	July 29, 2010	Records series in the Risk Management/Insurance and Legal sections (covering accidents/incidents, guardian permission for minors, and claims for damages) have been revised. The Industrial Insurance (workers' compensation) section has been updated and consolidated, and a new series covering LEOFF 1 claims has been added. GS50-01-11 (covering contracts and agreements) has been updated to include legal agreements of all kinds, such as liability waivers, hold harmless agreements, insurance waivers, etc. Two new series covering agency strategic plans have been added. A new series covering Superior Court source records (which have been reproduced) has been added. An obsolete records series relating to public disclosure requests has been discontinued.
2.2	December 15, 2011	Critical updates based on user feedback/input. (37 pages removed; 73 records series discontinued, 32 revised, and 22 added. See Revision Guide for details.) 31 existing series relating to financial transactions have been consolidated into 2 new series: Financial Transactions – General , and Financial Transactions – Bond, Grant and Levy Projects . 19 existing series relating to meetings and hearings have been consolidated into 2 existing and 3 new series. Added "Archival Designations" column. Removed 3 columns: "Item No.", "Secondary Record Copy", and "Remarks". (Some remarks have been added to description as "Notes".) All records series relating to purchasing have been moved to Financial Management/ Purchasing. The Contracts and Agreements section has been updated/enhanced, and a new Training section has been added to cover agency-provided training. (Changes detailed in Revision Guide.)



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1. AGENCY MANAGEMENT

The function relating to the overarching management of the local government agency and its general administration. Also includes managing the agency's interaction with its community, and legal matters.

1.1 ADMINISTRATION (GENERAL)

The activity associated with the day-to-day operations of the agency. Includes short-term records that can be disposed of as part of normal administrative practice.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-01-42 Rev. 0	ACCREDITATION, CERTIFICATION, AND LICENSE DOCUMENTATION FOR AGENCY FUNCTIONS AND OPERATIONS Includes documentation of any mandatory or voluntary accreditation, certification or licenses for any aspect of an agency's functions and/or operations.	Until superseded or terminated plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-01-02 Rev. 0	ADMINISTRATIVE WORKING FILES Subject files containing informational copies of various records organized by issue, person, subject, or other areas of interest. <i>Remarks: Contact your Regional Archivist before disposing of elected official, executive or department head files. Records from this series may be selected for transfer to and preservation at a Regional Archives branch.</i>	Destroy when obsolete or superseded - elected official, executive and department head files are potentially archival	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
GS50-01-36 Rev. 0	APPOINTMENT CALENDARS <i>Remarks: Elected officials and department heads may want to retain appointment calendars to document activities and appointments for a longer period of time.</i>	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-01-08 Rev. 0	CHRONOLOGICAL REFERENCE FILE Also known as reading or day file. Used as a chronological reference source supplemental to correspondence and subject reference files.	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OFM



1.1 ADMINISTRATION (GENERAL)

The activity associated with the day-to-day operations of the agency. Includes short-term records that can be disposed of as part of normal administrative practice.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-01-12 Rev. 2	<p>Communications – Governing/Executive/Advisory</p> <p>Internal and external communications to or from the agency’s governing bodies, elected official(s)/executive management, and advisory bodies, that are made or received in connection with the transaction of public business, and that are not covered by a more specific records series.</p> <p>Includes all communication types, regardless of format:</p> <ul style="list-style-type: none"> • Correspondence, email; • Web sites/forms/pages, social networking posts and comments, etc. <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Requests for and provision of information/advice; • Agency-initiated information/advice. <p>Excludes:</p> <ul style="list-style-type: none"> • Non-executive communications covered by DAN GS2010-001; • Public records requests covered by DAN GS2010-014; • The provision of routine information covered by DAN GS50-02-01. <p><i>Note: Information/advice published online by the agency continues to be “provided” until the date it is removed/withdrawn.</i></p>	<p>Retain for 2 years after communication received or provided, <i>whichever is later then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM</p>



1.1 ADMINISTRATION (GENERAL)

The activity associated with the day-to-day operations of the agency. Includes short-term records that can be disposed of as part of normal administrative practice.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS2010-001 Rev. 2	<p>Communications – Non-Executive</p> <p>Internal and external communications to or from employees (includes contractors and volunteers), that are made or received in connection with the transaction of public business, and that are not covered by a more specific records series.</p> <p>Includes all communication types, regardless of format:</p> <ul style="list-style-type: none"> • Correspondence, email; • Web sites/forms/pages, social networking posts and comments, etc. <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Requests for and provision of information/advice; • Agency-initiated information/advice. <p>Excludes:</p> <ul style="list-style-type: none"> • Governing/Executive/Advisory communications covered by DAN GS50-01-12; • Public records requests covered by DAN GS2010-014; • The provision of routine information covered by DAN GS50-02-01. <p><i>Note: Information/advice published online by the agency continues to be “provided” until the date it is removed/withdrawn.</i></p>	<p>Retain for 2 years after communication received or provided, <i>whichever is later then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06F-03 Rev. 0	<p>INFORMATIONAL REPORTS COMPILED FOR AGENCY USE</p> <p><i>Remarks: Please contact your Regional Archivist before disposing of this record. Records from this series may be selected to be transferred to and preserved at a Regional Archives branch.</i></p>	<p>Retain until no longer needed for agency business <i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM



1.1 ADMINISTRATION (GENERAL)

The activity associated with the day-to-day operations of the agency. Includes short-term records that can be disposed of as part of normal administrative practice.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-01-39 Rev. 0	PROJECT FILES (MISCELLANEOUS) <i>Remarks: Contact your Regional Archivist before disposing of this record. Records from this series may be selected to be transferred to and preserved at a Regional Archives branch.</i>	Completion of Project plus 6 years -Potential archival value	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
GS50-01-32 Rev. 0	RESEARCH/PROGRAM REPORTS, STUDIES, SURVEYS, MODELS, AND ANALYSES <i>Remarks: Contact your Regional Archivist before disposing of this record. Records from this series may be selected for transfer to and preservation at a Regional Archives branch.</i>	Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM



1.2 BOARDS, COUNCILS AND COMMITTEES

The activity of documenting the business of decision-making bodies, and the administrative arrangements and support provided to them. Excludes their meetings and hearings, which are covered in the Meetings and Hearings section.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-05A-04 Rev. 0	ANNUAL REPORTS ADOPTED May also include annual messages of chief executive officer.	PERMANENT as adopted - 1 copy archival	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
GS50-05A-15 Rev. 0	OATHS OF OFFICE	End of term of office plus 6 years	NON-ARCHIVAL ESSENTIAL OPR
GS50-01-25 Rev. 0	ORDINANCE AND RESOLUTION DEVELOPMENT FILES Documentation of the analysis and development of ordinances and/or resolutions submitted for the approval of the agency's governing council, commission, or board.	3 years - Potential archival value	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
GS50-05A-16 Rev. 0	ORDINANCES AND RESOLUTIONS	PERMANENT - Potential archival value	ARCHIVAL (Appraisal Required) ESSENTIAL OPR



1.3 COMMUNITY RELATIONS

The activity of the local government agency's interaction with its community.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS-PROMO Rev. 0	<i>Advertising and Promotion</i> Records relating to the planning and/or execution of educational or promotional events, campaigns, and contests conducted by the agency to promote the agency's mission or business.	Retain for 6 years after end of fiscal year <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
GS-AWARD Rev. 0	<i>Awards and Recognitions</i> Records documenting international, national, and other significant awards and recognition <u>received by</u> the agency in relation to its functions and assets. Includes, but is not limited to: <ul style="list-style-type: none"> Awards (design, efficiency, sustainability, etc.) for agency-owned buildings, monuments, bridges, dams, and features (archeological, geographical or topological), etc.; Recognition for web site or electronic information system designs, transit efficiency/service, customer service excellence, etc. Excludes artifacts (plaques, trophies, etc.).	Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
GS50-06F-01 Rev. 0	BIOGRAPHICAL FILES	Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR



1.3 COMMUNITY RELATIONS

The activity of the local government agency's interaction with its community.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS-CHARITY Rev. 0	<p><i>Charity Fundraising</i></p> <p>Records documenting the agency's coordination and support of and/or participation in charity fundraising campaigns, including promotion of employee payroll deductions.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Decision process for selecting charity campaigns to support; • Communication between the agency and charities; • Dissemination of charity information; • Arrangements and promotion of campaign events. <p>Excludes authorizations of payroll deductions covered by GS50-03E-01.</p>	<p>Retain for 6 years after end of fiscal year <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-01-09 Rev. 0	<p>CITIZENS' COMPLAINTS/REQUESTS</p> <p>Communications from citizens making a complaint or request, as well as the associated agency response.</p>	Matter closed plus 3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06F-02 Rev. 0	HISTORICAL FILES OF THE AGENCY	<p>Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives for appraisal and selective retention. value - See remarks</p>	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM



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1.3 COMMUNITY RELATIONS

The activity of the local government agency's interaction with its community.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-06F-05 Rev. 0	NEWSPAPER CLIPPINGS	Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
GS50-06F-06 Rev. 0	PHOTOGRAPHS, AUDIO/VISUAL MATERIAL Photographic negatives and prints may be held at Regional Archives for permanent preservation and security backup .	Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
GS50-06F-07 Rev. 0	PRESS RELEASES	Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
GS-PROC Rev. 0	Proclamations Proclamations issued by the mayor, commissioner, or elected executive on behalf of the local government agency, <i>where not included in the minutes or meeting packet of the agency's governing body.</i>	Retain for 6 years after issued <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR



1.3 COMMUNITY RELATIONS

The activity of the local government agency's interaction with its community.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-01-30 Rev. 0	PUBLIC OPINION POLLS	Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
GS50-06F-08 Rev. 0	SCRAPBOOKS AND ALBUMS	Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
GS50-06F-09 Rev. 0	SPEECHES	Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM



1.4 CONTRACTS/AGREEMENTS

The activity of managing contracts and agreements entered into by the local government agency and processes involved in the development of such contracts and agreements.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS-CAP Rev. 0	<p><i>Contracts and Agreements – Capital Assets (Non-Real Property)</i></p> <p>Instruments signed by the agency and one or more parties that set out terms and conditions to which the signing parties agree or submit, and that relate to capital asset ownership, but <u>do not</u> establish, alter, or abolish <u>real property</u> ownership. Includes change orders.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Purchase and sales agreements (non-real property capital asset purchases only); • Building construction and improvements; • Rights-of-way and/or easements <u>received by</u> the agency. <p><u>Excludes</u> contracts/agreements covered elsewhere in the CORE (and/or other current, approved records retention schedules) including, but not limited to:</p> <ul style="list-style-type: none"> • Bond, grant and levy project contracts/agreements covered by GS53-02-08; • Rights-of-way/easements <u>granted by</u> the agency, which are covered by GS-REAL. 	<p>Retain for 6 years after completion of transaction or termination/expiration of instrument <i>and</i> 6 years after disposition of asset (if asset owned by agency) <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
GS-REAL Rev. 0	<p><i>Contracts and Agreements – Capital Assets (Real Property)</i></p> <p>Instruments signed by the agency and one or more parties that set out terms and conditions to which the signing parties agree or submit, <i>and that establish, alter, or abolish real property ownership.</i> Includes change orders.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Land purchases, sales, and capital leases; • Rights-of-way (roads, streets, alleys, etc.) and/or easements <u>granted by</u> the agency. <p><u>Excludes</u> rights-of-way/easements <u>received by</u> the agency, which are covered by GS-CAP.</p> <p><i>Note: Per RCW 4.16.020, the statute of limitations for the commencement of actions for the recovery of real property is 10 years.</i></p>	<p>Retain for 10 years after disposition of asset <i>and</i> 10 years after completion of transaction or termination/expiration of instrument <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	ARCHIVAL (Appraisal Required) ESSENTIAL OPR



1.4 CONTRACTS/AGREEMENTS

The activity of managing contracts and agreements entered into by the local government agency and processes involved in the development of such contracts and agreements.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-01-11 Rev. 2	<p>Contracts and Agreements - General</p> <p>Instruments signed by the agency and one or more parties that set out terms and conditions to which the signing parties agree or submit, and that <u>do not</u> establish, alter, or abolish ownership of capital assets. Includes change orders.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Inter-agency, intra-agency, inter-governmental, inter-local agreements; • Lease, escrow, and rental agreements; • Lending agreements (facility, equipment, vehicle, etc.); • Liability waivers (hold harmless, insurance, etc.); • Loan agreements (long-term debt, etc.); • Master depository contract (banking); • Personal service, client service, purchasing agreements; • Purchase and sales agreements (non-capital asset purchases only); • Vendor bonds; • Warranties. <p>Excludes contracts/agreements covered elsewhere in the CORE (and/or other current, approved records retention schedules) including, but not limited to:</p> <ul style="list-style-type: none"> • Contracts and agreements relating to real property ownership (GS-REAL) and non-real property capital assets (GS-CAP); • Public records transfer agreements with Washington State Archives covered by GS2010-021; • Bond, grant and levy project contracts and agreements covered by GS-FT-BGL. 	<p>Retain for 6 years after completion of transaction or termination/expiration of instrument <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>



1.5 LEGAL AFFAIRS

The activity of managing the agency's legal affairs, including litigation and legal advice. Includes internal and outside counsel.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS53-02-01 Rev. 1	Attorney General Opinions <i>Note: Opinions issued by the Office of the Attorney General (AG) are designated Archival in the AG's records retention schedule.</i>	Retain until no longer needed for agency business <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-04C-04 Rev. 1	Civil Rights Violation Complaints Records relating to the agency's investigations of complaints of civil rights violations occurring within the agency's jurisdiction, where civil litigation has <u>not</u> commenced. Complaints may be made by employees (including contractors and volunteers), students, or the general public. Includes, but is not limited to: <ul style="list-style-type: none"> Complaints, investigations, witness statements, evidentiary documents; Notifications, communications, contact logs, notes; Findings, settlement agreements, post-finding materials. Includes, but is not limited to: <ul style="list-style-type: none"> <i>Americans with Disabilities Act (ADA), Title II, etc.;</i> <i>Civil Rights Act of 1964</i> (voter registration, facilities, transportation, equal employment opportunity, education, race, color & national origin [Title VI], etc.); <i>Federal Fair Housing Amendments Act of 1988;</i> <i>Health Insurance Portability and Accountability Act (HIPAA);</i> <i>Rehabilitation Act of 1973</i> (Section 504 accommodations, etc.); <i>Individuals with Disabilities Education Act (IDEA).</i> <i>Note: If litigation commences, these records become part of the litigation case file and are covered by GS53-02-04.</i>	Retain for 6 years after resolution, completion, closure, or decision not to proceed <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR



1.5 LEGAL AFFAIRS

The activity of managing the agency's legal affairs, including litigation and legal advice. Includes internal and outside counsel.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS-CIVIL Rev. 0	<p>Civil Rights – Compliance</p> <p>Records relating to the agency's efforts to comply with federal, state and local statute governing employee (including contractors and volunteers), student, and the general public's civil rights. May include surveys, reports, notifications, communications, meetings, agreements, training materials, etc.</p> <p>Excludes:</p> <ul style="list-style-type: none"> • <i>Rehabilitation Act of 1973</i> Section 504 accommodations covered by GS50-04C-01; • Civil rights violation complaints covered by GS50-04C-04; • Equal employment reports covered by GS50-04C-05. 	<p>Retain for 6 years after end of calendar year or conditions of grant satisfied, <i>whichever is later</i> then Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-04C-01 Rev. 1	<p>Civil Rights – Compliance (Section 504 Accommodations)</p> <p>Records relating to the agency's compliance with Section 504 of the <i>Rehabilitation Act of 1973</i> which requires that qualified individuals with disabilities have equal opportunity to benefits and services. Records may include applications, agreements, surveys, reports, notifications, meetings, communications, training materials, etc.</p> <p>Excludes:</p> <ul style="list-style-type: none"> • Civil rights violation complaints covered by GS50-04C-04; • Equal employment reports covered by GS50-04C-05. 	<p>Retain for 6 years after completion or denial of accommodation(s) then Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-01-10 Rev. 1	<p>Claims for Damages</p> <p>Records relating to claims for damages filed either against the agency by other parties, or by the agency against other parties.</p> <p>Excludes workers' compensation claims, which are covered by records series in the Industrial Insurance section.</p> <p>Excludes litigation case files covered by GS53-02-04.</p>	<p>Retain for 6 years after claim closed then Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR



1.5 LEGAL AFFAIRS

The activity of managing the agency's legal affairs, including litigation and legal advice. Includes internal and outside counsel.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS-ORDERS Rev. 0	<p><i>Court Orders – Served on the Agency</i></p> <p>Records relating to subpoenas and summonses served on the agency, where the agency <u>is not</u> a party to the litigation.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Personnel/staff summonses; • Subpoenas for agency records. <p>Excludes records where the agency <u>is</u> a party to the litigation or claim, which are covered by other records series (<i>Litigation Case Files, Claims for Damages</i>, etc.).</p>	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
GS55-05A-04 Rev. 1	<p><i>Encroachments</i></p> <p>Records documenting encroachments affecting real property owned by the agency, including land disputes, water rights and obligations, etc.</p> <p>Excludes records covered by GS55-05A-09 (<i>Evictions, Liens, Foreclosures, Condemnations</i>).</p>	<p>Retain for 10 years after matter resolved <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	ARCHIVAL (Appraisal Required) ESSENTIAL OPR



1.5 LEGAL AFFAIRS

The activity of managing the agency's legal affairs, including litigation and legal advice. Includes internal and outside counsel.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS55-05A-09 Rev. 1	<p>Evictions, Liens, Foreclosures, Condemnations</p> <p>Records relating to disputes involving real property and/or facilities owned or maintained by the agency where litigation has not commenced. Includes actions taken (including debt forgiveness).</p> <p>Includes all activities and actions, such as:</p> <ul style="list-style-type: none"> • Collections; • Vacation of premises; • Property liens (and releases); • Foreclosure of deeds and mortgages; • Condemnation/eminent domain. <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Correspondence, research, invoices/billing statements; proof of mailing; • Copies of title reports, certificates of delinquency, notices of summons. <p>Excludes:</p> <ul style="list-style-type: none"> • Encroachments covered by GS55-05A-04; • Non-real property financial disputes covered by GS50-03B-14. <p><i>Note: If litigation commences, these records become part of the litigation case file and are covered by GS53-02-04.</i></p> <p><i>Note: Per RCW 4.16.020, the statute of limitations for the commencement of actions for the recovery of real property is 10 years.</i></p>	<p>Retain for 10 years after matter resolved <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>
GS53-02-05 Rev. 0	LEGAL ISSUES/ADVICE FILES	Destroy when obsolete or superseded	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>



Washington State Archives
Office of the Secretary of State

Local Government Common Records Retention Schedule (CORE)
Version 2.2 (December 2011)

1.5 LEGAL AFFAIRS

The activity of managing the agency's legal affairs, including litigation and legal advice. Includes internal and outside counsel.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS53-02-03 Rev. 1	<i>Legal Opinions (Agency Attorney)</i> Official interpretations made by agency attorney regarding questions of legal rights or liabilities affecting the agency or any of its departments and offices. Excludes legal opinions covered by GS53-02-06, <i>Levy and Bond Planning – Successful</i> .	PERMANENT - Potential archival value	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
GS53-02-04 Rev. 1	<i>Litigation Case Files</i> Documentation of a civil suit by the agency against another party, or defense of the agency and/or agency employee against suit by another party. <i>Note: Primary copies of official court documents are held permanently by the Clerk of Superior Court, or 10 years by the District or Municipal Court Administrator.</i>	Retain for 10 years after case closed <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
GS50-06B-17 Rev. 0	RESTITUTION STATEMENT Source document backup for billing.	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR



1.6 MEETINGS AND HEARINGS

The activity of the agency assembling groups of people for the purpose of information-sharing, discussion, planning and/or decision-making. Includes all meetings organized by or on behalf of the agency including open public meetings, executive sessions, public and/or appeals hearings, community meetings, and internal agency meetings. May involve governing and advisory bodies, executive management, general staff, volunteers, general public.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS-HEARING Rev. 0	<p><i>Appeals Hearings – Local Decision-Making Bodies (General)</i></p> <p>Records documenting the adjudicative proceedings of the local government agency's decision-making bodies subject to the <i>Administrative Procedure Act</i> (chapter 34.05 RCW). Includes hearings and quasi-judicial actions of the legislative body, planning commission, hearing examiner, or other bodies which determine the legal rights, duties, or privileges of specific parties in a hearing or other contested case proceeding <i>where <u>NO</u> land use or valuation decision is being appealed.</i></p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Civil asset forfeiture hearings; • Animal control dispute appeals; • Civil Service Commission hearings; employee grievance appeals; • Billing dispute appeals hearings (utilities, etc.). <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Case files, decisions/rulings, minutes (if taken); • Oral and written testimony, exhibits, etc.; • Agendas, meeting/agenda packets (briefs, reference materials, etc.); • Audio/visual recordings and transcripts of proceedings; • Public notices (affidavits of mailing, posting and publication, etc.). <p>Includes indexes and other finding aids.</p> <p>Excludes records covered by GS-LAND, GS50-05A-13 and GS-ARRANGE.</p>	<p>Retain for 6 years after final disposition of case <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) ESSENTIAL OPR</p>



1.6 MEETINGS AND HEARINGS

The activity of the agency assembling groups of people for the purpose of information-sharing, discussion, planning and/or decision-making. Includes all meetings organized by or on behalf of the agency including open public meetings, executive sessions, public and/or appeals hearings, community meetings, and internal agency meetings. May involve governing and advisory bodies, executive management, general staff, volunteers, general public.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS-LAND Rev. 0	<p><i>Appeals Hearings – Local Decision-Making Bodies (Land Use/Valuation)</i></p> <p>Records documenting the adjudicative proceedings of the local government agency's decision-making bodies subject to the <i>Administrative Procedure Act</i> (chapter 34.05 RCW). Includes hearings and quasi-judicial actions of the legislative body, planning commission, hearing examiner, zoning adjuster, board of adjustment or other bodies which determine the legal rights, duties, or privileges of specific parties in a hearing or other contested case proceeding <i>where a land use or valuation decision <u>is</u> being appealed.</i></p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Land use administrative appeals; • County Board of Equalization appeals. <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Case files, decisions/rulings, minutes (if taken); • Oral and written testimony; exhibits, etc.; • Agendas, meeting/agenda packets (briefs, reference materials, etc.), etc.; • Audio/visual recordings and transcripts of proceedings; • Public notices (affidavits of mailing, posting and publication, etc.). <p>Includes indexes and other finding aids.</p> <p>Excludes records covered by GS-HEARING, GS50-05A-13, and GS-ARRANGE.</p>	<p>Retain for 6 years after final disposition of case <i>then</i> Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) ESSENTIAL OPR</p>



1.6 MEETINGS AND HEARINGS

The activity of the agency assembling groups of people for the purpose of information-sharing, discussion, planning and/or decision-making. Includes all meetings organized by or on behalf of the agency including open public meetings, executive sessions, public and/or appeals hearings, community meetings, and internal agency meetings. May involve governing and advisory bodies, executive management, general staff, volunteers, general public.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-05A-13 Rev. 1	<p>Meetings – Governing/Executive/Advisory</p> <p>Records documenting all meetings of the local government agency's governing bodies, executive management, and advisory bodies.</p> <p>Includes:</p> <ul style="list-style-type: none"> All meetings regulated by the <i>Open Public Meetings Act</i> (chapter 42.30 RCW), such as regular and special meetings, public hearings, etc.; All other meetings (including executive sessions regulated by RCW 42.30.110(2)). <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Meeting notices (affidavits of mailing, posting and publication, etc.); Agendas, meeting/agenda packets (briefs, reference materials, etc.); Speaker sign-up, written testimony; Audio/visual recordings and transcripts of proceedings; Minutes. <p>Includes indexes and other finding aids.</p> <p>Excludes records covered by GS-LAND, GS-HEARING, GS-INTER-A, and GS-ARRANGE.</p>	<p>Retain for 6 years after end of calendar year <i>then</i> Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) ESSENTIAL OPR</p>



1.6 MEETINGS AND HEARINGS

The activity of the agency assembling groups of people for the purpose of information-sharing, discussion, planning and/or decision-making. Includes all meetings organized by or on behalf of the agency including open public meetings, executive sessions, public and/or appeals hearings, community meetings, and internal agency meetings. May involve governing and advisory bodies, executive management, general staff, volunteers, general public.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS-INTER-A Rev. 0	<p>Meetings – Inter-Agency</p> <p>Records documenting all meetings held between the local government agency <u>and</u> one or more other public agencies. May include multi-agency staff meetings, committees, task forces that coordinate activities, communications, solutions to problems, etc.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Agendas, meeting packets, sign-in lists, meeting notices (affidavits of mailing, posting and publication), etc.; Minutes, audio/visual recordings, transcripts, etc. <p>Includes indexes and other finding aids.</p> <p>Excludes all meetings regulated by the <i>Open Public Meetings Act</i> (chapter 42.30 RCW), which are covered by GS50-05A-13; also excludes records covered by GS50-HEARING and GS-ARRANGE.</p>	<p>Retain for 6 years after end of calendar year <i>or</i> 6 years after completion of project, <i>whichever is later then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>
GS50-01-43 Rev. 1	<p>Meetings – Staff</p> <p>Records documenting meetings held by (and/or for) general staff of the local government agency. May include staff meetings, <u>internal</u> committees/task forces, and other groups that meet for various reasons (to plan activities, coordinate communications, solve problems, coordinate employee safety, etc.).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Agendas, meeting packets, sign-in lists, meeting notices, etc.; Minutes, audio/visual recordings, transcripts, etc. <p>Excludes all meetings regulated by the <i>Open Public Meetings Act</i> (chapter 42.30 RCW), which are covered by GS50-05A-13.</p> <p>Excludes records covered by GS-HEARING, GS-INTER-A, and GS-ARRANGE.</p>	<p>Retain for 2 years after end of calendar year <i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>



1.6 MEETINGS AND HEARINGS

The activity of the agency assembling groups of people for the purpose of information-sharing, discussion, planning and/or decision-making. Includes all meetings organized by or on behalf of the agency including open public meetings, executive sessions, public and/or appeals hearings, community meetings, and internal agency meetings. May involve governing and advisory bodies, executive management, general staff, volunteers, general public.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS-ARRANGE Rev. 0	<p>Meetings/Hearings – Arrangements</p> <p>Records relating to the administrative arrangements of meetings held by or on behalf of the local government agency.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Meeting date and place scheduling records; • Agenda requests; • Arrangement of catering, facilities and equipment. <p>Excludes financial records (facilities, catering, travel expense, etc.).</p>	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>



1.7 PLANNING, MISSION, AND CHARTER

The activity of documenting and determining the local government agency's objectives, and the means for obtaining them.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-05A-01 Rev. 0	AGENCY CHARTERS AND BY-LAWS Official, adopted charter defining scope of the agency and its rights, responsibilities, and authority.	PERMANENT - Potential archival value	ARCHIVAL (Appraisal Required) ESSENTIAL OPR
GS50-01-37 Rev. 1	<i>Census Records from the State Office of Financial Management</i> <i>Note: This record is retained permanently by the Office of Financial Management in accordance with its records retention schedule.</i>	Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
GS50-05A-07 Rev. 0	CHARTER HISTORY FILES Includes past, current, and proposed charters which will provide background and historical reference for county or city charter review.	Agency option - Potential archival value	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
GS50-14-03 Rev. 1	<i>Emergency Preparedness and Recovery Plans</i> Emergency preparedness, response, and recovery plans prepared for any aspect of the agency's operations and assets. Includes, but is not limited to: <ul style="list-style-type: none"> Disaster preparedness and recovery plans; Employee emergency plans and fire prevention plans prepared in accordance with WAC 296-24-567. 	Retain for 6 years after obsolete or superseded <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OPR



1.7 PLANNING, MISSION, AND CHARTER

The activity of documenting and determining the local government agency's objectives, and the means for obtaining them.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-05A-10 Rev. 0	FRANCHISES	Termination or withdrawal plus 6 years - Potential archival value	ARCHIVAL (Appraisal Required) ESSENTIAL OPR
GS50-05A-11 Rev. 0	GOALS & OBJECTIVES WORKING FILES	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS2010-079 Rev. 0	Strategic Plans – Development Records relating to the development of the agency's strategic plan.	Retain until no longer need for agency business <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
GS2010-080 Rev. 0	Strategic Plans – Final Version Final version of agency-wide strategic, long-term plan used to align the agency's organizational and budget structure with its priorities, missions, and objectives.	Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OFM
GS50-01-38 Rev. 1	Work Plans Plans describing work to be performed by divisions and units of the agency, including timelines and areas of responsibility for specific actions. Also includes records relating to the development of work plans. Excludes agency-wide strategic plans covered by GS2010-080.	Retain until no longer needed for agency business <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



Washington State Archives
Office of the Secretary of State

**Local Government Common Records Retention Schedule (CORE)
Version 2.2 (December 2011)**

1.8 POLICIES AND PROCEDURES

The activity of creating systematic approaches to operations and processes.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-01-01 Rev. 0	ADMINISTRATIVE PROCEDURES AND INSTRUCTIONS Internal procedures and instructions - Guidance on any routine internal procedure or protocol required for day to day operations. Includes work assignments to staff.	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-01-24 Rev. 0	OFFICIAL AGENCY POLICY AND PROCEDURE DIRECTIVES, REGULATIONS, AND RULES Officially adopted policies, procedures or public rules affecting the entire agency. Activated through executive or department head signature, ordinance or resolution.	Adoption - Permanent	ARCHIVAL (Appraisal Required) ESSENTIAL OPR



1.9 REPORTING

The activity of providing information as required by regulating authorities.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-01-41 Rev. 0	PUBLIC DISCLOSURE LOBBYIST REPORTING Quarterly reports to the Washington State Public Disclosure Commission relating to lobby activities by the agency. Used to document lobby activities with chapter 42.17 RCW . May include Public Disclosure forms L-5 or their electronic equivalent.	Retain for 6 years after end of fiscal year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-05A-25 Rev. 0	SPECIAL PURPOSE DISTRICT INFORMATION STATEMENT – ANNUAL. Statement required to be submitted to the appropriate county auditor by individual junior taxing districts. <i>Note: Reference RCW 36.96.090 (1).</i>	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR



1.10 RISK MANAGEMENT/INSURANCE

The activity of identifying and mitigating risks to the local government agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS-A/I-HAZ Rev. 0	<p><i>Accidents/Incidents (Hazardous Materials) – Human Exposure</i></p> <p>Records documenting accidents, incidents, and any other occurrences within the agency's jurisdiction that are known to have involved human exposure to potentially hazardous materials. Includes employees (including contractors and volunteers) and the public. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Description of accident/incident, response, and investigation; • Personal exposure information, physical examination reports, etc.; • Analyses of medical or exposure records (WAC 296-802-20015); • Toxic and hazardous substances records (29 CFR § 1926.1101(n)); • Personal exposure records as defined by American Nuclear Insurers (ANI) Information Bulletin 80-1A Section VIII; • Employment records for persons entering radiologically-controlled areas as defined by American Nuclear Insurers (ANI) Information Bulletin 80-1A Section I; • Other records as specified in WAC 296-802-20010. <p>Hazardous materials include, but are not limited to:</p> <ul style="list-style-type: none"> • Toxic substances or harmful physical agents as defined by 29 CFR § 1910.1020(c)(13); • Hazardous materials as defined by RCW 70.136.020; • Dangerous waste, extremely dangerous waste, hazardous substances or hazardous waste as defined by RCW 70.105.010; • Pesticides as defined by RCW 15.58.030. <p><i>Note: There is no limitation of action on the agency's liability for the exposure of individuals to hazardous materials.</i></p>	<p>Retain for 100 years after individual's date of birth <i>or</i> 30 years after individual's date of death, <i>whichever is sooner then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL OPR</p>



1.10 RISK MANAGEMENT/INSURANCE

The activity of identifying and mitigating risks to the local government agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-06C-03 Rev. 1	<i>Accidents/Incidents – No Claim Filed (Under Age 18)</i> Records relating to accidents/incidents involving individual(s) younger than age 18, and where claims for damages are <u>not</u> filed. Includes, but is not limited to, reports and investigations. Includes agency copy of Reports of Accident filled out for volunteer fire fighters and reserve officers in accordance with RCW 41.24.210 . Excludes hazardous materials accidents and incidents covered by <i>GS-A/I-HAZ</i> .	Retain for 3 years after individual reaches age 18 <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
GS2010-081 Rev. 1	<i>Accidents/Incidents – No Claim Filed (Age 18 and Older)</i> Records relating to accidents/ incidents involving individuals age 18 and older, and where claims for damages are <u>not</u> filed. Includes, but is not limited to, reports and investigations. Includes agency copy of Reports of Accident filled out for volunteer fire fighters and reserve officers in accordance with RCW 41.24.210 . Excludes hazardous materials accidents and incidents covered by <i>GS-A/I-HAZ</i> .	Retain for 3 years after date of incident <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-14-02 Rev. 0	DISASTER DAMAGE DECLARATION STATEMENTS	3 years - Potential archival value	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
GS50-06C-32 Rev. 0	FEDERAL EMERGENCY MANAGEMENT AGENCY (FEMA) CLAIMS Federal claims made following disasters.	Claim closed plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-06C-09 Rev. 0	FIDELITY AND SURETY COVERAGE BONDS	Termination of policy plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR



1.10 RISK MANAGEMENT/INSURANCE

The activity of identifying and mitigating risks to the local government agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-06C-15 Rev. 0	INSURANCE AUDITS, SURVEYS, REPORTS To document and analyze the coverage, premium costs, and self-insurance costs.	4 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06C-16 Rev. 0	<i>Insurance Policies Purchased</i> Includes accident/injury, sickness, automobile, theft, fire liability, life, and all other insurance policies purchased by the agency. <i>Note: The Local Records Committee suggests that policies which allow claims retroactive to their period of coverage should be retained permanently. Consult your risk manager.</i>	Retain for 6 years after termination or expiration of coverage <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OPR
GS50-06C-04 Rev. 0	INSURANCE POLICY CERTIFICATES	PERMANENT	NON-ARCHIVAL ESSENTIAL OPR
GS50-06A-02 Rev. 2	<i>Information Technology Backups for Disaster Preparedness/Recovery</i> Routine, cyclical backups of the agency's electronic records created for the purpose of disaster preparedness and recovery.	Retain until no longer needed for agency business <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OFM



1.10 RISK MANAGEMENT/INSURANCE

The activity of identifying and mitigating risks to the local government agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-06C-35 Rev. 2	<p><i>Permission for Minors to Participate</i></p> <p>Records relating to parental/legal guardian permission for individuals under age 18 (includes employees, students, interns and volunteers) to participate in agency-sponsored or agency-approved programs, events and activities. Includes travel away from agency facilities.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Notices and announcements; • Sign-up sheets, rosters, registration forms; • Parent/legal guardian permissions (approval for use of private vehicles, waiver of liability, emergency information, etc.); • Chaperone/driver lists and information; • Transportation and all other arrangements. <p>Excludes public school-sponsored events and activities for PreK-12 students covered by DAN SD51-06C-32 in the <i>School Districts and Educational Service Districts Records Retention Schedule</i>.</p> <p><i>Note: If an accident/incident occurs, these records are covered by GS50-06C-03, GS50-01-10, and/or GS53-02-04.</i></p>	<p>Retain for 3 years after individual reaches age 18 <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-06C-25 Rev. 0	<p>RISK DATA</p> <p>Information compiled on the costs, liability for risks to which the agency is exposed, and the allocation of expense required to support the risk management program.</p>	4 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-18-29 Rev. 0	<p>STORM/DISASTER RESPONSE ACTION FILES</p> <p>Documentation of agency's activities and locations of work performed on storms, floods, and other emergencies.</p>	6 years - Potential archival value	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR



1.11 TRAINING

The activity of the local government agency providing training to agency employees, contractors, customers, or the public.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS-REGISTER Rev. 0	<p><i>Agency-Provided Training – Arrangements</i></p> <p>Records relating to the administrative arrangements of agency-provided training courses, seminars and workshops.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Training date and place scheduling records; • Training availability announcements and notices; • Participant registration; • Arrangement of catering, facilities and equipment. <p>Excludes financial records (facilities, catering, travel expense, etc.).</p>	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS-COURSE Rev. 0	<p><i>Agency-Provided Training – Curriculum Development</i></p> <p>Records relating to the development of training courses, seminars and/or workshops. Includes research, materials development, etc.</p>	<p>Retain until curriculum no longer provided by agency <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM



1.11 TRAINING

The activity of the local government agency providing training to agency employees, contractors, customers, or the public.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS-CERT Rev. 0	<p><i>Agency-Provided Training – Certificated, Hours/Credits Earned, or Mandatory</i></p> <p>Records documenting training courses, seminars and workshops provided by the local government agency to the public, customers, contractors, or agency employees, where:</p> <ul style="list-style-type: none"> • Certificates/credentials/licenses may be awarded; or, • Continuing education hours/credits/points may be earned; or • Training is required by federal, state or local statute, and/or by employer. <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> • Curricula, materials presented, tests administered, etc.; • Attendee lists and sign-in sheets, test results, evaluations, etc.; • Certification/hours/credits/points awarded. <p><u>Agency-provided training</u> includes, but is not limited to:</p> <ul style="list-style-type: none"> • Continuing education clock hours, continuing legal education (CLE) credits, etc.; • Certification (and recertification) such as Emergency Medical Technician (EMT), Certified Municipal Clerk (CMC), cardiopulmonary resuscitation (CPR), disaster response/emergency preparedness, automated external defibrillator (AED), first aid, lifeguard, childcare, etc.; • (Non-radiological) hazardous materials, hazardous waste, hazardous exposure, and other safety training. <p>Excludes:</p> <ul style="list-style-type: none"> • Radiation protection training as defined by WAC 246-222-030 and American Nuclear Insurers (ANI) Information Bulletin 80-1A; • Hazardous materials trained personnel list covered by GS50-19-09; • Apprentice certification files covered by GS50-04B-34; • Employee training certificates/history retained in the employee's personnel file; • Financial records covered in the Financial Management function. 	<p>Retain for 6 years after training provided <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>



1.11 TRAINING

The activity of the local government agency providing training to agency employees, contractors, customers, or the public.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS-TRAIN Rev. 0	<p>Agency-Provided Training – General</p> <p>Records documenting training courses, seminars and workshops provided by the local government agency to the public, customers, contractors, or agency employees <i>where:</i></p> <ul style="list-style-type: none"> • Certificates/credentials/licenses are NOT awarded; and, • Continuing education hours/credits/points are NOT earned; and • Training is NOT required by federal, state or local statute or by employer. <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> • Curricula, materials presented, tests administered, etc.; • Attendee lists and sign-in sheets, test results, evaluations, etc. <p>Excludes:</p> <ul style="list-style-type: none"> • Agency-provided training covered by GS-CERT; • Apprentice certification files covered by GS50-04B-34; • Excludes employee training certificates/history retained in the employee's personnel file; • Financial records covered in the Financial Management function. 	<p>Retain for 3 years after training provided <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>



2. ASSET MANAGEMENT

The function of managing the local government agency's physical assets (facilities, land, equipment, vehicles, supplies, etc.) Includes asset acquisition, maintenance, inventory, and disposal.

2.1 AUTHORIZATIONS

The activity of granting and/or receiving permission or approval in relation to asset management.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-06B-26 Rev. 0	<p>CONFINED SPACE PERMIT FILES</p> <p>Records of internally-issued permits (notices) for individual entries into confined spaces as provided by WAC 296-809, which should include documentation that required safety procedures were followed.</p> <p><i>Note: Reference WAC 296-809-50006.</i></p>	1 year	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-06C-11 Rev. 0	FIRE ALARM APPLICATION	Termination plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR



2.2 DESIGN AND CONSTRUCTION

The activity of designing, constructing, or remodeling of buildings, structures, infrastructure, etc., owned, leased or otherwise occupied by the local government agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-18-06 Rev. 0	AS-BUILT CONSTRUCTION PROJECT PLANS Documentation of the actual physical product of each construction project. Documents both the as-approved design and changes made during construction.	Life or sale of facility plus 3 years Potential archival value -	ARCHIVAL (Appraisal Required) ESSENTIAL OPR
GS50-18-07 Rev. 0	AS-DESIGNED DRAWINGS Documents used to guide the construction of roads, bridges, buildings, and other public facilities. May include drawings for temporary activities (i.e., project traffic, erosion control, etc). May be posted with changes during construction and become as-builts (see DAN GS50-18-06). <i>Note: If as-built is not produced, then the as-designed becomes primary copy and needs to be kept for life of structure plus 3 years</i>	Completion of project plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS51-07-04 Rev. 0	CAPITAL IMPROVEMENT AND/OR LEVY PLANNING PROJECT FILE	Completion of project Potential archival value	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
GS51-07-07 Rev. 0	CONSTRUCTION LOG Chronological listing of the progress of construction projects.	Completion and acceptance of project plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-18-10 Rev. 0	CONSTRUCTION PROJECT FILES Case file documentation on the progress and completion of each agency public works or engineering construction project.	Completion of project plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR



2.2 DESIGN AND CONSTRUCTION

The activity of designing, constructing, or remodeling of buildings, structures, infrastructure, etc., owned, leased or otherwise occupied by the local government agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-06B-02 Rev. 0	ENGINEERING AND ARCHITECTURAL DRAWINGS AND SPECIFICATIONS Architectural, structural, plumbing, electrical, etc.	Disposal or sale of property plus 10 years - Potential archival value	ARCHIVAL (Appraisal Required) ESSENTIAL OPR
GS55-05G-04 Rev. 0	FACILITIES STANDARDS AND SPECIFICATIONS MANUAL Documentation of standards and specifications for the construction, operation and maintenance of agency facilities.	10 years after superseded - Potential archival value	ARCHIVAL (Appraisal Required) ESSENTIAL OFM
GS50-06B-22 Rev. 0	INSTALLED EQUIPMENT/SYSTEM DOCUMENTATION FACILITY AND PROPERTY MANAGEMENT Documentation of major equipment or operating systems, such as sound or audio-visual systems, not integral to the structure of a facility, which may be installed and replaced during the life of the facility. May include system layout descriptions, specifications, operating manuals, warranties, installation drawings and other documentation integral to the maintenance and operation of the equipment or system.	6 years after the equipment or system is disposed of or replaced	NON-ARCHIVAL NON-ESSENTIAL OPR



2.3 DISPOSAL

The activity of disposing of the local government agency's assets through sale or otherwise.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-08C-01 Rev. 0	ADVANCE NOTIFICATIONS OF AUCTION	3 years or until completion of State Auditor's examination report	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-08C-02 Rev. 0	AUCTION AUTHORIZATION FILES Copy of resolution or ordinance and related documents authorizing auction of surplus property.	Clerk of governing council, commission, or board - PERMANENT - Attach to resolution or ordinance	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06E-08 Rev. 0	EQUIPMENT AND VEHICLE SALE AND SALVAGE RECORD	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-08C-07 Rev. 0	SURPLUS PROPERTY INVENTORY TRANSFER SHEET Transferring specific fixed assets from departments to Surplus Property.	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM



2.4 ELECTRONIC INFORMATION SYSTEMS

The activity of developing, implementing, maintaining, and using electronic information systems to store, protect, process, transmit and securely retrieve information.

See **AGENCY MANAGEMENT – Contracts/Agreements** for software licenses and service agreements.

See additional activities in **ASSET MANAGEMENT** for records series relating to the purchase, inventory, maintenance and disposal of information technology hardware and third-party software.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS2010-002 Rev. 0	Access Authorization (Network/System/Data) – Employee Records documenting the authorization of employee (includes contractors and volunteers) access to agency systems, networks, applications, records, and data. Includes, but is not limited to, requests and approvals for access and permissions.	Retain for 6 years after termination of user's access <i>or</i> 6 years after system no longer in use, <i>whichever is sooner</i> <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OPR
GS50-06A-01 Rev. 1	Applications – Planning and Review Records documenting the planning and post-implementation review of the agency's computer software applications, databases, and websites (internet and intranet). Includes, but is not limited to: <ul style="list-style-type: none"> • Requirements and objectives documents/statements; • Feasibility studies; • Charter, cost/benefit analyses, investment plans; • Post-implementation reviews/evaluations/recommendations. 	Retain for 6 years after finalization of project <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



2.4 ELECTRONIC INFORMATION SYSTEMS

The activity of developing, implementing, maintaining, and using electronic information systems to store, protect, process, transmit and securely retrieve information.

See **AGENCY MANAGEMENT – Contracts/Agreements** for software licenses and service agreements.

See additional activities in **ASSET MANAGEMENT** for records series relating to the purchase, inventory, maintenance and disposal of information technology hardware and third-party software.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-06A-03 Rev. 1	<p>Applications – Technical Design and Implementation Records documenting the technical design and implementation of the agency's computer software applications, databases, and websites (internet and intranet).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Design documentation/detail; • Database schema and dictionaries; • Source code; • System and program change descriptions/authorizations; • Development plans (for testing, training, conversion, and acceptance); • Release notes; • Operational and user instructions; • Acceptance testing. 	<p>Retain until application or version is no longer needed for agency business <i>and</i> all records within the application have been migrated or dispositioned in accordance with a current approved records retention schedule <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OFM
GS2010-003 Rev. 0	<p>Audit Trail – Infrastructure Records documenting authorizations for and modifications to the configurations and settings of the agency's infrastructure (firewalls, routers, ports, network servers, etc.)</p>	<p>Retain for 1 year after date of activity <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM



2.4 ELECTRONIC INFORMATION SYSTEMS

The activity of developing, implementing, maintaining, and using electronic information systems to store, protect, process, transmit and securely retrieve information.

See **AGENCY MANAGEMENT – Contracts/Agreements** for software licenses and service agreements.

See additional activities in **ASSET MANAGEMENT** for records series relating to the purchase, inventory, maintenance and disposal of information technology hardware and third-party software.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS2010-004 Rev. 0	<i>Automated/Scheduled Tasks</i> Records relating to scheduled, computer-driven tasks including, but not limited to: <ul style="list-style-type: none"> • Event logs; • Run reports and requests; • Task schedules; • Successful completion reports. 	Retain until no longer needed for agency business <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
GS2010-005 Rev. 0	<i>Helpdesk Requests</i> Records relating to employee (includes contractors and volunteers) requests for advice and assistance in using information systems and applications. <i>Note: Maintenance and repair of IT hardware is covered by DAN GS50-06B-13.</i>	Retain for 1 year after finalization of request <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
GS2010-006 Rev. 0	<i>Network – Design and Build</i> Records documenting the design and construction of the agency's information technology network. Includes, but is not limited to: <ul style="list-style-type: none"> • Network diagrams and build guides; • Master control list of Internet Protocol (IP) address assignments; • Uniform Resource Locator (URL) addresses and passwords. 	Retain until no longer needed for agency business <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OFM



2.4 ELECTRONIC INFORMATION SYSTEMS

The activity of developing, implementing, maintaining, and using electronic information systems to store, protect, process, transmit and securely retrieve information.

See **AGENCY MANAGEMENT – Contracts/Agreements** for software licenses and service agreements.

See additional activities in **ASSET MANAGEMENT** for records series relating to the purchase, inventory, maintenance and disposal of information technology hardware and third-party software.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS2010-007 Rev. 0	<p>Online Content Management Records documenting the <u>publishing</u> of the agency's online (internet and intranet) content. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Requests/approvals to upload/update/remove content; • Confirmation of content upload/update/removal; • Point-in-time record of webpage/site (screenshot, snapshot, site map). <p><i>Note: All published content consists of individual <u>records</u> which have their own separate retention requirements. Each of these records must be retained for the current approved minimum retention period(s) according to their applicable records series.</i></p>	<p>Retain for 1 year after online content removed <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS2010-008 Rev. 0	<p>Security Monitoring – Incident Records relating to the routine security monitoring of the agency's information systems where a security incident has occurred. Includes, but is not limited to, intrusion and event logs.</p>	<p>Retain for 1 year after investigation finalized <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS2010-009 Rev. 0	<p>Security Monitoring – No Incident Records relating to the routine security monitoring of the agency's information systems where a security incident has not occurred. Includes, but is not limited to, intrusion and event logs.</p>	<p>Retain until determined that no security incident has occurred <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM



2.4 ELECTRONIC INFORMATION SYSTEMS

The activity of developing, implementing, maintaining, and using electronic information systems to store, protect, process, transmit and securely retrieve information.

See **AGENCY MANAGEMENT – Contracts/Agreements** for software licenses and service agreements.

See additional activities in **ASSET MANAGEMENT** for records series relating to the purchase, inventory, maintenance and disposal of information technology hardware and third-party software.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS2010-010 Rev. 0	System Health Monitoring Records relating to the routine monitoring of the performance of the agency's information management systems. Includes, but is not limited to, benchmarks and real-time performance logs.	Retain until no longer needed for agency business <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06A-05 Rev. 1	Usage – Monitoring Records relating to the monitoring of the agency's information and communication systems to ensure appropriate use. Includes, but is not limited to: <ul style="list-style-type: none"> • Login records; • Internet activity logs (sites visited, downloads/uploads, video/audio streaming, etc.); • Fax and telephone logs. <i>Note: The content of records created or received by employees (includes contractors and volunteers) must be retained for the current approved minimum retention period(s).</i>	Retain for 1 year after activity <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



2.5 ENVIRONMENTAL MANAGEMENT

The activity of managing and monitoring the local government agency's impact on the environment, including air, soil, and water quality. Includes hazardous waste handling and documentation.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-11-10 Rev. 0	CRITICAL MATERIALS LIST A list of chemical types and quantities for critical (hazardous) materials stored on a site as per regulations.	Life of approved activity	NON-ARCHIVAL ESSENTIAL OPR
GS51-07-10 Rev. 0	ENVIRONMENTAL MONITORING REPORTS	Disposition of land or facility plus 10 years - Potential archival value	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
GS50-06B-24 Rev. 1	Environmental Site Assessment An analysis of environmental conditions on individual parcels of real property either owned or considered for purchase by the agency, including hazardous materials and conditions.	Retain until obsolete or superseded <i>or</i> 10 years after property no longer owned by agency, <i>whichever is later</i> <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
GS50-19-02 Rev. 0	GENERATOR ANNUAL DANGEROUS WASTE REPORT HAZARDOUS MATERIALS ADMINISTRATION (To Department of Ecology) summary of hazardous waste removal.	50 years	NON-ARCHIVAL ESSENTIAL OPR



2.5 ENVIRONMENTAL MANAGEMENT

The activity of managing and monitoring the local government agency's impact on the environment, including air, soil, and water quality. Includes hazardous waste handling and documentation.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-19-10 Rev. 0	HAZARDOUS MATERIALS ABATEMENT PROJECT FILE Includes records of asbestos removal, underground storage tank removal, and other large-scale hazardous material removal. <i>Note: There is no limitation of action on the agency's liability for the exposure of individuals to hazardous materials.</i>	50 years	NON-ARCHIVAL ESSENTIAL OPR
GS50-19-03 Rev. 1	HAZARDOUS MATERIALS ACCIDENT/INCIDENT REPORT (NO HUMAN EXPOSURE) Description of accident and cleanup. Excludes accidents/incidents involving human exposure covered by GS-A/I-HAZ.	50 years	NON-ARCHIVAL ESSENTIAL OPR
GS50-19-12 Rev. 0	HAZARDOUS MATERIALS DISPOSAL RECORDS AND/OR CERTIFICATE OF DESTRUCTION Documentation of hazardous materials disposed of by the agency. May include used oil, car parts, etc. <i>Note: There is no limitation of action on the agency's liability for the exposure of individuals to hazardous materials.</i>	50 years	NON-ARCHIVAL ESSENTIAL OPR
GS50-19-16 Rev. 0	HAZARDOUS MATERIALS EMERGENCY RESPONSE PLAN Annual reports prepared for the State Emergency Response Commission (SERC), Local Emergency Planning Committees (LEPC), and local fire departments that document hazardous materials and their locations. The report makes emergency planners aware of hazardous materials located in their jurisdiction.	Completion of report plus 6 years Potential archival value	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
GS50-19-05 Rev. 0	HAZARDOUS MATERIALS EMPLOYEE RIGHT TO KNOW IMPLEMENTATION PLAN	PERMANENT	NON-ARCHIVAL ESSENTIAL OPR



2.5 ENVIRONMENTAL MANAGEMENT

The activity of managing and monitoring the local government agency's impact on the environment, including air, soil, and water quality. Includes hazardous waste handling and documentation.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-19-06 Rev. 0	HAZARDOUS MATERIALS INSPECTION AND TEST REPORTS <i>Note: There is no limitation of action on the agency's liability for the exposure of individual to hazardous materials.</i>	50 years	NON-ARCHIVAL ESSENTIAL OPR
GS50-19-07 Rev. 0	HAZARDOUS MATERIALS INVENTORY SHEET List of chemicals and other hazardous materials present in each work area. <i>Note: There is no limitation of action on the agency's liability for the exposure of individual to hazardous materials.</i>	50 years	NON-ARCHIVAL ESSENTIAL OPR
GS50-19-08 Rev. 0	HAZARDOUS MATERIALS MANAGEMENT PLAN <i>Note: There is no limitation of action on the agency's liability for the exposure of individual to hazardous materials.</i>	50 years	NON-ARCHIVAL ESSENTIAL OPR
GS50-19-09 Rev. 0	HAZARDOUS MATERIALS TRAINED PERSONNEL LIST Includes certifications and lists of persons trained in handling hazardous materials, such as asbestos. . Includes attendance information and completion date. <i>Note: There is no limitation of action on the agency's liability for the exposure of individual to hazardous materials.</i>	50 years	NON-ARCHIVAL ESSENTIAL OPR
GS55-01M-04 Rev. 0	HAZARDOUS WASTE DISPOSAL PERMITS <i>Note: Reference WAC 173-303-281, and WAC 173-303-806.</i>	30 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-19-11 Rev. 0	MATERIALS SAFETY DATA SHEET (MSDS) <i>Note: Reference WAC 296-800-180.</i>	30 years	NON-ARCHIVAL ESSENTIAL OPR



2.5 ENVIRONMENTAL MANAGEMENT

The activity of managing and monitoring the local government agency's impact on the environment, including air, soil, and water quality. Includes hazardous waste handling and documentation.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-19-13 Rev. 0	NOTIFICATION OF DANGEROUS WASTE ACTIVITY - HAZARDOUS MATERIALS ADMINISTRATION	Destroy when superseded or when item is no longer on hand	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-18-43 Rev. 0	PESTICIDE SPRAY APPLICATION DOCUMENTATION Includes location and crop or site where applied, date and time application of pesticide was applied, product name and environmental protection agency registration number, amount and concentration of pesticide applied, number of acres or other appropriate measure to which pesticide applied, licensed applicator's information, direction/estimated velocity of wind at time of application, etc. <i>Note: Reference RCW 17.21.100 (3).</i>	7 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS55-05H-01 Rev. 0	POLLUTION AND POLLUTION CONTROL STUDIES <i>Note: Environmental records for electrical utility facilities must be retained for at least 25 years as provided by 18 CFR § 125.2.</i>	5 years - Potential archival value	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
GS50-19-14 Rev. 0	REMEDIAL SITE FILES - SUPERFUND SITE-SPECIFIC Contains all documents relating to: chemical analysis services performed to support Superfund remedial and removal, site-specific records relating to removal activities and activities conducted at remedial sites. Examples: Correspondence, quality assurance plans, endangerment assessment, risk assessment, health and safety plans, potentially responsible party searches and investigations, projects operations plans, remedial investigation reports, feasibility studies, Comprehensive Environmental Response, Compensation, and Liability Information System (CIRCLIS) Superfund removal records, removal response files. <i>Note: Reference 40 CFR § 35.6705.</i>	Submission of final financial status report plus 10 years Potential archival value	ARCHIVAL (Appraisal Required) ESSENTIAL OPR



2.5 ENVIRONMENTAL MANAGEMENT

The activity of managing and monitoring the local government agency's impact on the environment, including air, soil, and water quality. Includes hazardous waste handling and documentation.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS55-05H-02 Rev. 0	STATE ENVIRONMENTAL POLICY ACT (SEPA) DETERMINATION OF SIGNIFICANCE OR NON-SIGNIFICANCE <i>Note: Environmental records for electrical utility facilities must be retained for at least 25 years as provided by 18 CFR § 125.2.</i>	Disposal or sale of property plus 10 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS55-05H-03 Rev. 0	STATE ENVIRONMENTAL POLICY ACT (SEPA) ENVIRONMENTAL CHECKLISTS <i>Note: Environmental records for electrical utility facilities must be retained for at least 25 years as provided by 18 CFR § 125.2.</i>	Disposal or sale of property plus 10 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS51-07-26 Rev. 0	STATE ENVIRONMENTAL POLICY ACT (SEPA) ENVIRONMENTAL IMPACT STATEMENT WORK FILES	Issuance of permit	NON-ARCHIVAL NON-ESSENTIAL OFM
GS55-05H-04 Rev. 0	STATE ENVIRONMENTAL POLICY ACT (SEPA) ENVIRONMENTAL IMPACT STATEMENTS Submitted for land use code approval of agency projects. <i>Note: Reference chapter 197-11 WAC. Environmental records for electrical utility facilities must be retained for at least 25 years as provided by 18 CFR § 125.2.</i>	Disposal or sale of property plus 10 years - Potential archival value	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
GS50-19-15 Rev. 0	SUPERFUND TOXIC CHEMICAL RELEASE FILES Contains documents relating to requirement for submission of information relating to the release of toxic chemicals under Section 313 SARA Title III Emergency Planning and Community Right-to-Know Act (EPCRA). Information collected is intended to inform the general public and the communities surrounding covered facilities about releases of toxic chemicals. Includes EPA forms, inspection reports, consent agreements, and other information for listed toxic chemicals. <i>Note: Reference 40 CFR § 35.6705.</i>	Submission of final financial status report plus 10 years Potential archival value	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR



2.5 ENVIRONMENTAL MANAGEMENT

The activity of managing and monitoring the local government agency's impact on the environment, including air, soil, and water quality. Includes hazardous waste handling and documentation.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-19-18 Rev. 0	<p>UNDERGROUND STORAGE TANKS - ROUTINE OPERATION AND MAINTENANCE RECORDS</p> <p>Series is used to document routine testing, inspection and monitoring of agency-owned underground storage tanks containing regulated substances. May include correspondence, inspection and testing reports related to equipment integrity, corrosion, tightness calibration, etc. Also includes repair and modification documentation and additional records used to demonstrate that tanks are operated in compliance and State and Federal regulations.</p> <p><i>Note: Reference 40 CFR § 280.45 and WAC 173-360-355.</i></p>	End of Calendar Year plus 10 years.	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-06B-23 Rev. 0	<p>WASTE MATERIALS ANALYSIS REPORTS</p> <p>Documentation of analysis of waste materials, such as used oil, which are used to determine if the materials should be disposed of or recycled as non-hazardous or hazardous waste.</p>	Completion of analysis plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR



2.6 INVENTORY

The activity of detailing or itemizing goods, materials and resources on a periodic basis.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-06B-04 Rev. 0	FIXED ASSET INVENTORIES	Destroy when obsolete or superseded plus 3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-03A-18 Rev. 0	INVENTORY OF FIXED ASSETS Includes fixed asset inventory (year-end) as well as documentation of current status and updates and adjustments to the fixed asset inventory.	3 years or until completion of State Auditor's examination report	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-08B-02 Rev. 0	INVENTORY OF MATERIALS/ EQUIPMENT, CHANGES AND TRANSFERS	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-08B-03 Rev. 0	INVENTORY/YEAR-END REPORT	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06E-12 Rev. 0	PARTS CONTROL FILES Record of vehicle/equipment parts in stock.	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06E-17 Rev. 0	PARTS INVENTORY	3 years after obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06E-18 Rev. 0	PARTS MASTER LISTING REPORTS	3 years after obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-03A-22 Rev. 0	RECORD OF SUPPLIES DRAWN FROM CENTRAL STORES	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM



2.6 INVENTORY

The activity of detailing or itemizing goods, materials and resources on a periodic basis.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-08C-06 Rev. 0	SURPLUS PROPERTY INVENTORY	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-06B-25 Rev. 0	TREE INVENTORY Documents the number, type, age, and estimated height of trees on agency-owned property under an agency-adopted inventory policy, e.g. historical or ornamental trees.	Until obsolete or superseded plus 3 years - Potential archival value	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM



2.7 MAINTENANCE

The activity of repairing or servicing the assets of the local government agency. Includes buildings, vehicles, and equipment.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-06E-13 Rev. 0	ACCIDENT/TRAFFIC COLLISION LOGS	6 years after last entry	NON-ARCHIVAL NON-ESSENTIAL OFM
GS51-05F-01 Rev. 0	ACCIDENT/TRAFFIC COLLISION REPORTS Agency reference copies of reports on accidents occurring on roads and streets within the agency's jurisdiction for traffic monitoring purposes.	Washington State Patrol retains for 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-06B-01 Rev. 0	BOILER VESSEL REPORTS A. Report of boiler inspection by custodian. B. Report of boiler or hot water tanks by insurance company or Department of Labor and Industries.	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06E-06 Rev. 0	EQUIPMENT AND VEHICLE MAINTENANCE AND HISTORY FILES Includes original defect and inspection report.	Until disposal or sale of equipment or vehicle	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06E-20 Rev. 0	EQUIPMENT AND VEHICLE MAINTENANCE REPORTS	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06E-14 Rev. 0	EQUIPMENT AND VEHICLE SAFETY ANALYSIS AND INVESTIGATION FILES	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06C-08 Rev. 0	FACILITY SAFETY INSPECTION HISTORY RECORDS Cumulative record showing inspection citations, corrections, and other information relating to the continuing safety of each agency facility.	Disposition of facility	NON-ARCHIVAL NON-ESSENTIAL OFM



2.7 MAINTENANCE

The activity of repairing or servicing the assets of the local government agency. Includes buildings, vehicles, and equipment.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-06B-03 Rev. 0	FIRE EXTINGUISHER INSPECTION TAGS Prepared by fire departments or private firms.	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06B-27 Rev. 0	INSPECTION DOCUMENTATION Inspections of various systems (e.g. HVAC, fire system) and the documentation created during the inspection or to comply with inspections. May include routine maintenance checks, operational maintenance logs, and certificates.	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-06C-18 Rev. 0	INSURANCE, SAFETY AND FIRE INSPECTION REPORTS	Violation corrected plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06B-06 Rev. 0	MAINTENANCE HISTORY DOCUMENTATION Maintenance history for each building, which may include: Maintenance performed, work orders, purchase orders, copies of state and/or insurance companies' inspection reports.	Life or sale of the facility	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06B-07 Rev. 0	MAINTENANCE LOGS	Destroy when superseded plus 3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06B-08 Rev. 0	MAINTENANCE REPORTS	1 year	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06B-09 Rev. 0	OPERATING MANUALS Prepared by contractors for use of the agency in maintaining equipment installed in buildings. <i>Note: This record should be protected from damage or loss by off-site storage of a security copy, or by keeping a list that identifies the locations of other copies inside or outside the agency.</i>	Disposition or sale of facility or equipment	NON-ARCHIVAL ESSENTIAL OFM



2.7 MAINTENANCE

The activity of repairing or servicing the assets of the local government agency. Includes buildings, vehicles, and equipment.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-06B-10 Rev. 0	OPERATING PERMITS For boilers and elevators.	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06E-19 Rev. 0	TIRE MAINTENANCE REPORTS	5 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06B-13 Rev. 0	WORK ORDERS Request for performance of maintenance work, may show location, date of request, work to be performed, etc. May include request for survey services.	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM



2.8 OPERATIONS

The activity of managing the day-to-day usage of the local government agency's buildings, vehicles and equipment.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS51-07-09 Rev. 0	ENERGY USAGE MEASUREMENT REPORTS AND DATA	5 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06E-15 Rev. 0	FUEL PUMP/TANK AUDIT REPORTS	2 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06E-10 Rev. 0	FUEL/OIL USAGE REPORTS	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06E-16 Rev. 0	FUEL STORAGE FACILITY RECORDS Regulatory and operating records; receiving, dispersal, and inventory documentation including maintenance of facility.	3 years Selected documents kept for life of facility	NON-ARCHIVAL NON-ESSENTIAL OFM



2.9 OWNERSHIP

The activity of documenting ownership of assets acquired through purchase, donation, or otherwise.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-06E-02 Rev. 0	CERTIFICATES OF VEHICLE TITLE	Destroy after disposition of vehicle and completion of audit	NON-ARCHIVAL NON-ESSENTIAL OPR
GS55-05A-02 Rev. 0	DEEDS/TITLES Legal documents of ownership.	Sale or disposal of land plus 10 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS55-05A-06 Rev. 0	LAND INFORMATION FILES General reference files on acquisition of land; condemnation proceedings, title info: i.e. location, size, value, etc. <i>Note: Per <u>RCW 4.16.020</u>, the statute of limitations for the commencement of actions for the recovery of real property is 10 years.</i>	Disposition of land plus 10 years - Potential archival value	ARCHIVAL (Appraisal Required) ESSENTIAL OFM



2.10 PLANNING

The activity of formulating strategies to achieve an objective or outcome relating to the local government agency's facilities or other assets.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS51-07-15 Rev. 0	LONG-RANGE FACILITIES PLAN	PERMANENT Potential archival value	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
GS50-05A-22 Rev. 0	LONG-RANGE FACILITIES PLAN ADOPTED	Clerk of the Government Council, Commission, or Board PERMANENT 1 copy potentially archival	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR



2.11 SECURITY

The activity of protecting the local government agency's physical goods and resources against danger, loss or threat.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-04B-21 Rev. 0	IDENTIFICATION BADGE RECORDS FOR CONTRACT AND TEMPORARY EMPLOYEES Photo ID badges and supporting paperwork to track badges issued to contract and temporary employees.	1 year	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-06B-14 Rev. 0	INTRUSION ALARM REPORTS	1 year	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06B-05 Rev. 0	KEY/CARD KEY INVENTORY Documentation of facility keys and/or card keys assigned to agency personnel.	Destroy when obsolete or superseded	NON-ARCHIVAL ESSENTIAL OFM
GS50-06B-15 Rev. 0	SECURITY ANNUAL REPORT	1 year	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06B-21 Rev. 0	SECURITY ID BADGE APPLICATION AND ISSUANCE DOCUMENTATION Documents security badges issued to employees and contractors working in the agency.	Termination or revocation plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-06B-16 Rev. 0	SECURITY PATROL LOG	1 year	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06B-20 Rev. 0	STAFF ACCESS/ENTRY LOGS	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06B-18 Rev. 0	SURVEILLANCE VIDEOS	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OFM



2.11 SECURITY

The activity of protecting the local government agency's physical goods and resources against danger, loss or threat.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-06B-11 Rev. 0	VANDALISM REPORTS <i>Note: Videos of incidents resulting in legal action should be retained with other documentation pertaining to that incident and are subject to those retention schedules.</i>	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06B-12 Rev. 0	VISITOR LOGS	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06B-19 Rev. 0	WEAPONS CONFISCATION LOG	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR



2.12 USAGE

The activity of the local government agency either acquiring or granting temporary authority to use goods, materials and resources.

See **AGENCY MANAGEMENT – Contracts/Agreements** for lease agreements.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-06E-01 Rev. 0	BILLING TO OTHER AGENCIES FOR USE OF VEHICLES AND EQUIPMENT	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-06E-03 Rev. 0	EQUIPMENT AND VEHICLE CHECKOUT LOG	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06E-04 Rev. 0	EQUIPMENT AND VEHICLE DATA AND STATISTICAL REPORTS	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06E-09 Rev. 0	EQUIPMENT AND VEHICLE USE REQUEST	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS51-07-11 Rev. 0	FACILITY RENTAL/USE SCHEDULE	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM



2.13 VALUATION

The activity of valuing land, property, or other assets belonging to the local government agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS55-05A-01 Rev. 0	APPRAISALS Statement of land and facility values, provided by independent appraisers under contract to the agency.	Disposition of land or facility plus 10 years - Potential archival value	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR



3. FINANCIAL MANAGEMENT

The function of managing the local government agency's financial resources, obligations and monetary infrastructure.

3.1 ACCOUNTING

The activity relating to the creation of financial records of agency business transactions and the preparation of statements concerning the assets, liabilities, and performance of the local government agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS51-02-01 Rev. 0	ACCOUNTS PAYABLE CONTROL WORKSHEET Lists invoice totals and taxes. Used to balance against computer generated warrant register.	1 month	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-03B-10 Rev. 0	APPLICATION FOR DUPLICATE INSTRUMENT, AFFIDAVIT, AND BOND Authority to issue duplicated check or warrant in case of loss or destruction. Notarized oath that original was lost or destroyed and request for replacement.	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS-ASSET Rev. 0	<i>Capital Asset Record</i> Tracking record created by the local government agency for each of its capital assets as required by the Office of the State Auditor in accordance with RCW 43.09.200 . Includes information summarizing: <ul style="list-style-type: none"> • Acquisition (when & how purchased or constructed, purchase price); • Improvements; • Depreciation; • Deductions; • Disposal (when & how disposed of, expenses related to the sale, etc.). 	Retain for 4 years after disposition of asset <i>or</i> disposition of asset and completion of State Auditor's Examination Report, <i>whichever is sooner then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-03B-06 Rev. 0	CHECK STUBS OR DUPLICATE COPIES	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-03A-10 Rev. 0	DISTRIBUTION OF EXPENDITURES	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM



3.1 ACCOUNTING

The activity relating to the creation of financial records of agency business transactions and the preparation of statements concerning the assets, liabilities, and performance of the local government agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-03B-14 Rev. 1	<p><i>Financial Disputes and Collections - General</i></p> <p>Records relating to the agency's financial disputes and attempts to collect funds, <i>where not related to real property ownership</i>, and where civil litigation has <u>not</u> commenced.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Accounts receivable and payable; • Checks/warrants returned due to non-sufficient funds (NSF); • Correspondence, notices, invoices/statements, account closure; • Damage and loss claims (purchasing); • Liens/releases; • Settlement documentation. <p>Excludes hearing examiner case files covered by GS-HEARING.</p> <p>Excludes collections relating to real property disputes covered by GS55-05A-09.</p> <p><i>Note: If litigation commences, these records become part of the litigation case file and are covered by GS53-02-04.</i></p>	<p>Retain for 6 years after matter resolved <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>



3.1 ACCOUNTING

The activity relating to the creation of financial records of agency business transactions and the preparation of statements concerning the assets, liabilities, and performance of the local government agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS-FT-BGL Rev. 0	<p>Financial Transactions – Bond, Grant and Levy Projects</p> <p>Records documenting all resources received and expended by the agency for bond-, levy-, and/or grant-funded projects.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Contracts and agreements (bond, grant and levy projects); • Grant announcements, applications, evaluation summaries, award notifications, etc., for grant funds <u>issued or received</u> by the local government agency; • Documents supporting purchase/acquisition/construction price and disposition/ sales price; • Cancelled (and voided) checks, credit card slips, project cost record, etc., for capital assets constructed by the local government agency; • Financial statements and reports (cash receipts transmittals, daily cash report/summary, expenditure transactions, treasurer/finance officer reports, etc.); • Project cost/expenditure tracking record (staff time, etc.); • Registers and journals for all funds and functions (including numerical listing of checks/warrants/vouchers, etc.); • Revenue bonds and coupons, registers, etc.; • Trust indenture, loan agreement, etc. <p>Excludes general and subsidiary ledgers covered by GS50-03A-15.</p> <p>Excludes unsuccessful grant applications covered by GS50-03C-07.</p>	<p>Retain for 6 years after final bond payment <i>or</i> 6 years after completion of levy/grant project <i>or</i> terms of grant agreement, <i>whichever is later then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR



3.1 ACCOUNTING

The activity relating to the creation of financial records of agency business transactions and the preparation of statements concerning the assets, liabilities, and performance of the local government agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS-FT-GEN Rev. 0	<p>Financial Transactions – General</p> <p>Records documenting all resources received and expended by the agency <i>provided that receipts and expenditures are not for bond, grant or levy projects.</i></p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Purchase and sales (purchase/field orders, bills of sale, receipts, cash books, remittance advices, vouchers, fiscal purchasing/receiving documents, etc.); • Financial statements and reports (cash receipts transmittals, daily cash report/summary, expenditure transactions, treasurer/finance officer, etc.); • Registers and journals (general and subsidiary) for all funds and functions; • Check/warrant registers; • Petty cash. <p>Excludes:</p> <ul style="list-style-type: none"> • Levy-, grant-, and bond-funded transactions covered by GS-FT-BGL; • General and subsidiary ledgers covered by GS50-03A-15; • Contracts and agreements; • Annual financial report covered by GS50-03D-02. 	<p>Retain for 6 years after end of fiscal year <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>



3.1 ACCOUNTING

The activity relating to the creation of financial records of agency business transactions and the preparation of statements concerning the assets, liabilities, and performance of the local government agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-03A-15 Rev. 1	General and Subsidiary Ledgers General and subsidiary ledgers documenting the agency's assets, liabilities, revenues, expenditures, gains and losses. <i>Note: If your agency has ledgers from the 1800's, please contact Washington State Archives before destroying.</i>	Retain for 6 years after end of fiscal year <i>or</i> 6 years after final bond payment <i>or</i> 6 years after completion of levy/grant project <i>or</i> terms of grant agreement, <i>whichever is later</i> <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OPR
GS50-03C-07 Rev. 0	GRANT APPLICATIONS – NOT APPROVED	1 year	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-03B-09 Rev. 0	STATEMENTS OF BOND OR OTHER COLLATERAL SECURITY POSTED BY BANK (or other depository)	3 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-03A-28 Rev. 0	TRIAL BALANCES	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM



3.1 ACCOUNTING

The activity relating to the creation of financial records of agency business transactions and the preparation of statements concerning the assets, liabilities, and performance of the local government agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS55-05B-32 Rev. 0	UNCLAIMED PROPERTY RESEARCH/INVESTIGATIVE FILES - FUNDS HELD BY THE AGENCY Research and investigation records documenting unclaimed property retained by the agency until it is returned to its owner, including property returned to its owner prior to the completion of the abandonment period and property transferred to agency Gen Fund after termination of the abandonment period. May include correspondence, registered mail receipts, last known address, copy of check and amount, etc.	6 years after property claimed	NON-ARCHIVAL NON-ESSENTIAL OPR
GS55-05B-33 Rev. 0	UNCLAIMED PROPERTY RESEARCH /INVESTIGATIVE FILES - FUNDS REMITTED TO DEPARTMENT OF REVENUE Research and investigative records created to track attempts to contact individuals of unclaimed property for funds remitted to the Dept of Rev. May include correspondence, register mail receipts, last known address, copy of check and amount, etc.	6 years after property deemed abandoned and funds remitted to the Department of Revenue .	NON-ARCHIVAL NON-ESSENTIAL OPR



3.2 AUDITING

The activity of verifying the accuracy of the local government agency's financial accounts.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-03F-01 Rev. 0	AUDIT SUBJECT/REFERENCE FILES Cumulative data on departments and audit issues.	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-03F-02 Rev. 0	FISCAL AND PERFORMANCE AUDIT REPORTS Final report of audit findings.	6 years - Potential archival value	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
GS50-03A-26 Rev. 1	STATE AUDITOR'S EXAMINATION REPORT <i>Note: This record is retained permanently by the Office of the State Auditor in accordance with its records retention schedule.</i>	Retain until no longer needed for agency business <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-03F-03 Rev. 0	TECHNICAL REFERENCE MATERIALS – INTERNAL AUDIT Audit related publications and documents gathered for reference.	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OFM



3.3 AUTHORIZATION

The activity of granting and/or receiving permission or approval in relation to financial management.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-03B-11 Rev. 0	DELEGATION OF AUTHORITY AND SIGNATURE RECORDS (FORMERLY "SIGNATURE RECORDS") Includes written delegation of authority to specific individuals to sign documents and financial instruments, and to make decisions acting in lieu of a superior officer. Records will include samples of signatures.	Destroy when superseded plus 6 years.	NON-ARCHIVAL NON-ESSENTIAL OPR



3.4 BANKING

The activity of transacting monetary exchanges with a financial institution.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS-BANK Rev. 0	<p>Banking – Accounts and Transactions</p> <p>Records relating to the agency's banking activities and documenting its banking transactions. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Deposits and withdrawals (including Electronic Funds Transfers (EFT), International Money Transfers (IMT), Automated Clearing House (ACH), etc.); • Statements (bank, dividend, investment, etc.) and reconciliations; • Records documenting the status of and adjustments to accounts; • Stop payment reports/requests (and supporting documentation); • Checks and warrants <u>issued by</u> the agency (if returned by bank). <p>Excludes:</p> <ul style="list-style-type: none"> • Master depository contracts covered by GS50-01-11. • Cancelled and voided checks for capital assets constructed by the agency which are covered by GS-FT-BGL, Financial Transactions – Bond, Grant and Levy Projects. • Deposited items covered by GS-DEPO. 	<p>Retain for 6 years after end of fiscal year <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
GS-DEPO Rev. 0	<p>Banking – Deposited Items</p> <p>Negotiable instruments <u>received</u> by the agency and deposited to the bank in a different format. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Original paper checks/warrants imaged using Remote Deposit Capture (RDC) or Imaged Cash Letter (ICL), or returned by the bank after redemption; • Images of checks/warrants created in lieu of depositing the original item (such as imaged cash letter (ICL)). <p>Excludes checks returned to agency due to non-sufficient funds covered by GS50-03B-14.</p>	<p>Retain until deposit verified by bank <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR



3.5 BUDGET

The activity of determining estimates of the local government agency's future revenue and expenditures.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-03D-01 Rev. 0	ANNUAL ESTIMATE OF REVENUE AND EXPENDITURES	2 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-03D-03 Rev. 0	BUDGET DEVELOPMENT OR WORKING FILES Background information and draft documents compiled in the course of budget preparation.	Destroy when obsolete or superseded.	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-03D-04 Rev. 0	BUDGET FORECAST REPORTS	1 year	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-03D-05 Rev. 0	BUDGET OFFICER'S MONTHLY REPORT TO GOVERNING COUNCIL, COMMISSION, OR BOARD	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-03D-06 Rev. 0	BUDGET STATUS REPORT Includes all types of periodic budget status reports compiled by all units of local government as per statute, charter, or agency policy.	3 years or until completion of State Auditor's examination report	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-03D-07 Rev. 0	DEPARTMENTAL BUDGET REQUESTS	2 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-03D-08 Rev. 0	FINAL BUDGET	Clerk of governing council, commission or board - PERMANENT - 1 copy archival	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
GS50-03D-10 Rev. 0	PRELIMINARY BUDGETS	2 years	NON-ARCHIVAL NON-ESSENTIAL OFM



3.6 PAYROLL

The activity relating to the monetary compensation of employees on a periodic basis.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-03E-01 Rev. 0	AUTHORIZATION FOR PAYROLL DEDUCTIONS	Termination of authorization plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-03E-02 Rev. 0	BENEFIT DETAIL REPORTS - PAYROLL	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-03E-05 Rev. 0	DIRECT PAYROLL DEPOSIT AUTHORIZATION	Until transferred to cancellation file	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-03E-06 Rev. 0	DIRECT PAYROLL DEPOSIT AUTHORIZATION CANCELLATION	4 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-03E-07 Rev. 0	DIRECT PAYROLL DEPOSIT ENROLLEES DETAIL DATA	1 year	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-03E-08 Rev. 0	DIRECT PAYROLL DEPOSIT HASH SHEET	1 year	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-03E-09 Rev. 0	DIRECT PAYROLL DEPOSIT PRE-NOTE DATA	1 year	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-03E-10 Rev. 0	DIRECT PAYROLL DEPOSIT TRANSMITTAL LISTINGS	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM



3.6 PAYROLL

The activity relating to the monetary compensation of employees on a periodic basis.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-03E-15 Rev. 0	INDIVIDUAL EMPLOYEE PAY HISTORY May be used for verification of eligibility for retirement benefits. <i>Note: Either the individual employee pay history or the payroll register must be kept for long-term verification of retirement eligibility.</i>	If used for retirement verification - 60 years. If NOT used for retirement verification - 3 years .	NON-ARCHIVAL ESSENTIAL OPR
GS50-03A-17 Rev. 0	INTERNAL REVENUE SERVICE (IRS) FORMS 1099 - INT 941 - Employer's Quarterly Return W-2 - Employer's Copies of Federal Withholding Tax Statement W-4 - Employees Withholding Exemption Certificates W-9 - Request for Taxpayer ID Number and Certification	4 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-03E-16 Rev. 0	LABOR AND INDUSTRIES REPORT ON PAYROLL	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-03E-17 Rev. 0	LEAVE BUY-BACK ACCEPTANCE FORMS	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-03E-18 Rev. 0	LEAVE SHARING AUTHORIZATION	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-03E-19 Rev. 0	LISTINGS OF PAYROLL DEDUCTIONS Includes medical insurance.	3 years or until completion of State Auditor's examination report	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-03E-20 Rev. 0	MEDICAL INSURANCE REPORTS - PAYROLL	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM



3.6 PAYROLL

The activity relating to the monetary compensation of employees on a periodic basis.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-03E-21 Rev. 0	OLD AGE SECURITY INSURANCE (OASI) REPORTS	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-03A-32 Rev. 0	PAYROLL OR EXPENSE CHECKS LOG/SHEET Log or sheet that is signed by person picking up payroll or expense checks.	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-03E-22 Rev. 0	PAYROLL REGISTER May be used for verification of eligibility for retirement benefits. <i>Note: Either the individual employee pay history or the payroll register must be kept for long-term verification of retirement eligibility.</i>	If used for retirement verification - 60 years. If NOT used for retirement verification - 3 years .	NON-ARCHIVAL ESSENTIAL OPR
GS50-03A-33 Rev. 0	PERSONNEL FUND MONITORING REPORTS Reports document financial transactions on state-monitored personnel funds including Health Care, Industrial Insurance, Unemployment, Special Employment and Group Term Life. Reports document that the fund is being monitored and used accordingly, and are required by the State of Washington.	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-03E-23 Rev. 0	RECORDS OF ATTACHMENTS OR GARNISHMENTS OF SALARIES OR WAGES	Satisfaction plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-04A-07 Rev. 0	SALARY SCHEDULE - EMPLOYEE	Destroy when superseded plus 6 years - Potential archival value	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
GS50-03E-29 Rev. 0	STATE DEPARTMENT OF RETIREMENT SYSTEMS APPLICATIONS AND REPORTS	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM



3.6 PAYROLL

The activity relating to the monetary compensation of employees on a periodic basis.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-03E-24 Rev. 0	STATE EMPLOYEES RETIREMENT TRANSMITTAL	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-03E-25 Rev. 0	SUPPORTING DOCUMENTS AND REPORTS – PAYROLL Documentation of status of and adjustments to payroll accounts.	3 years or until completion of audit	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-03E-04 Rev. 0	TIME CARDS/TIME SHEETS Daily, weekly, or monthly time accumulation reports. May be used as retirement verification. <i>Note: Retain for 60 years if employee pay histories or payroll registers are not used for retirement verification.</i>	If used for retirement verification - 60 years. If NOT used for retirement verification - 4 years . Time records subject to federal audit should be retained per federal requirements.	NON-ARCHIVAL ESSENTIAL OPR



3.7 PLANNING

The activity relating to the planning financial strategies and processes in regard to revenues and expenditures. Includes bond levy and bond planning.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS-RATES Rev. 0	<p><i>Internal Service Fund – Rate Setting</i></p> <p>Records relating to setting rates for goods and services provided by the local government agency to itself on a cost-reimbursement basis through an internal service fund. May include motor pools, information technology, purchasing, central stores, duplicating/printing services, etc.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Cost-allocation basis; • Actual costs separated from estimated costs. 	<p>Retain for 4 years after rates superseded <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
GS53-02-06 Rev. 1	<p><i>Levy and Bond Planning – Successful</i></p> <p>Records relating to the financial planning of successful capital improvement and/or operations & maintenance levy and bond proposals.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Preliminary studies, proposals, prospectuses, budget requests, decision packages, etc.; • Legal opinions; authorizations and certificates for issuance; cancellation and exchange records; bond counsel opinions; other legal documents; • Communications and documentation related to the issuance of bonds to finance any capital or other project. <p>Excludes:</p> <ul style="list-style-type: none"> • Receipt and expenditure of levy and bond funds covered by GS-FT-BGL, <i>Financial Transactions – Bond, Grant and Levy Projects</i>; • Unsuccessful bond and levy project proposals covered by GS-FAIL; • Long-range facilities plans covered by GS51-07-15 and GS50-05A-22; • Project plans covered by records series in the Design and Construction section. 	<p>Retain for 6 years after final bond payment <i>or</i> completion of levy project <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR



Washington State Archives
Office of the Secretary of State

**Local Government Common Records Retention Schedule (CORE)
Version 2.2 (December 2011)**

3.7 PLANNING

The activity relating to the planning financial strategies and processes in regard to revenues and expenditures. Includes bond levy and bond planning.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS-FAIL Rev. 0	<p><i>Levy and Bond Planning – Unsuccessful</i></p> <p>Records relating to the financial planning of unsuccessful capital improvement and/or operations & maintenance levy and bond proposals.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Preliminary studies, proposals, prospectuses, budget requests, decision packages, communications, legal opinions, etc. 	<p>Retain for 6 years after levy failure <i>or</i> decision to not proceed <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>



3.8 PURCHASING

The activity of acquiring goods and services to accomplish the goals of the agency. May include development and review of product specifications, receipt and processing of requisitions, bids and proposals (advertising, evaluating and awarding), and inspections of goods received.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-08A-01 Rev. 1	<p><i>Bids and Proposals – Successful</i></p> <p>Records documenting bids and proposals made by other parties to provide the agency with goods, services, revenue, or other benefits which <u>are</u> accepted by the agency.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Request for proposal or bid (RFP), request for qualifications/quotations (RFQQ), specifications, etc.; • Notices (filed with county clerk, newspaper, etc.); • Bid proposals, evaluation documents, statements of qualification, applications, etc. <p>Excludes contracts and agreements covered in the Contracts/Agreements section.</p> <p>Excludes unsuccessful bid proposals covered by GS50-08A-11.</p>	<p>Retain for 6 years after completion of purchase or fulfillment of contract <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-08A-11 Rev. 1	<p><i>Bids and Proposals – Unsuccessful</i></p> <p>Records documenting bids and proposals to provide the agency with goods, services, revenue, or other benefits, which <u>are not</u> accepted by the agency. Includes bid proposals, evaluation documents, statements of qualification, applications (rental/lease), etc.</p> <p>If agency decides not to proceed with purchase or agreement, records also include:</p> <ul style="list-style-type: none"> • Request for proposal or bid (RFP), request for qualifications/quotations (RFQQ), specifications, etc.; • Notices (filed with county clerk, newspaper, etc.). <p>Excludes successful bids and proposals covered by GS50-08A-01</p> <p>Excludes executed contracts and agreements covered in the Contracts/Agreements section.</p>	<p>Retain for 4 years after end of fiscal year <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR



3.8 PURCHASING

The activity of acquiring goods and services to accomplish the goals of the agency. May include development and review of product specifications, receipt and processing of requisitions, bids and proposals (advertising, evaluating and awarding), and inspections of goods received.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-08A-02 Rev. 0	CONSULTANT AND CONTRACTOR ROSTERS	Destroy when superseded plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-08A-05 Rev. 0	DELIVERY RECEIPT-INTERNAL PURCHASING	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-08A-14 Rev. 0	EMERGENCY PURCHASE AUTHORIZATION AND EXCEPTION REQUEST Request for an exception of the purchasing process when a department exceeds the dollar limit when purchasing an item. Files document the approval authorization for emergency purchases under an amount set by the agency. Includes correspondence, copy of invoice, log of requests, etc.	Date approved plus 3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06E-21 Rev. 0	EQUIPMENT/VEHICLE PARTS ORDERS	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-08B-04 Rev. 0	MATERIALS DISBURSEMENT TICKETS	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-08B-05 Rev. 0	MATERIALS ORDERS/REQUISITIONS	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-08B-06 Rev. 0	MATERIALS RECEIPTS	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM



3.8 PURCHASING

The activity of acquiring goods and services to accomplish the goals of the agency. May include development and review of product specifications, receipt and processing of requisitions, bids and proposals (advertising, evaluating and awarding), and inspections of goods received.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-08B-07 Rev. 0	MATERIALS RECEIVING AND DISBURSEMENT REPORTS	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-08B-08 Rev. 0	PACKING SLIPS	Until confirmation of materials received	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-08A-06 Rev. 0	PRICE CHECKS AND INFORMAL QUOTATIONS	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OFM
GS51-07-21 Rev. 0	PROPERTY PURCHASE PROPOSALS (INACTIVE) PROPOSALS (INACTIVE) Proposal for the purchase of agency's real property made by other parties and proposals made by district to acquire real property.	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-08A-07 Rev. 0	PURCHASE ORDER, REQUISITION AND BID LOGS LISTING Listing of purchase order, requisitions and/or bids in numerical order, including date, item, amount, department, and vendor.	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-08A-09 Rev. 0	RECEIVING REPORTS Listing of items actually delivered to purchaser used to make sure that the shipment is correct and complete.	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-08A-10 Rev. 0	REQUISITIONS Official statement documenting the purchase of commodities, goods, or services subject to bid.	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR



3.8 PURCHASING

The activity of acquiring goods and services to accomplish the goals of the agency. May include development and review of product specifications, receipt and processing of requisitions, bids and proposals (advertising, evaluating and awarding), and inspections of goods received.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-08A-15 Rev. 0	STORES REPORTS AND BACKUP DOCUMENTATION Reports document all transactions, used to determine cost allocation.	End of calendar year plus 3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-08A-12 Rev. 0	WITHDRAWAL/CANCELLATION/ CHANGE OF PURCHASE ORDERS	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-08A-13 Rev. 0	WOMEN AND MINORITY OWNED BUSINESS ENTERPRISE (WMBE) VENDOR COMPLIANCE REPORTS	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR



3.9 REPORTING

The activity of providing financial information as required by regulating authorities.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-03D-02 Rev. 1	Annual Financial Report of Chief Fiscal Officer to Commissioners/Council Annual financial report compiled by the local government agency and submitted to its governing body in accordance with statute, charter, and/or agency policy.	Retain until obsolete or superseded <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
GS50-03C-01 Rev. 1	Continuing Grants – Annual Financial Status Reports Annual report submitted for <u>continuing</u> grants containing summaries and breakdowns of expenditures for the past year. Excludes non-continuing grant reports covered by GS50-03C-02	Retain for 4 years after submission of report <i>or</i> for period required by grant/program, <i>whichever is later</i> <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-03C-02 Rev. 1	Bond, Grant and Levy Project Reports Reports relating to bond, grant (non-continuing) and levy projects. Includes, but is not limited to: <ul style="list-style-type: none"> • Progress statements; • Expenditure of funds; • Periodic, annual, special, and final reports. Excludes continuing grant reports covered by GS50-03C-01.	Retain for 4 years after submission of final report <i>or</i> for period required by grant/program, <i>whichever is later</i> <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR



3.9 REPORTING

The activity of providing financial information as required by regulating authorities.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS-SAO Rev. 0	<p>Reporting – Financial Management</p> <p>Records relating to financial management and submitted to regulatory agencies as required by federal, state or local law, where not covered by a more specific records series. Includes reports, confirmation of submission, correspondence, inquiries, etc.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Report of known or suspected loss of public funds or assets or other illegal activity filed with the Office of the State Auditor in accordance with RCW 43.09.185. 	<p>Retain for 4 years after submitted to regulatory agency <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
GS55-05B-31 Rev. 0	<p>UNCLAIMED PROPERTY REPORT - FILED WITH DEPARTMENT OF REVENUE</p> <p>Report filed with the Department of Revenue that identifies unclaimed property for agency.</p> <p><i>Note: Reference RCW 63.29.170.</i></p>	6 years after report filed	NON-ARCHIVAL NON-ESSENTIAL OPR



3.10 TAXES

The activity of paying or collecting taxes.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-12D-01 Rev. 0	BUSINESS AND OCCUPATION TAX ACCOUNT LEDGERS	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-12D-02 Rev. 0	BUSINESS AND OCCUPATION TAX COMPUTATIONS AND LISTINGS	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-12D-03 Rev. 0	BUSINESS AND OCCUPATION TAX DEBIT AND CREDIT NOTICES	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-12D-05 Rev. 0	BUSINESS AND OCCUPATION TAX TRANSMITTALS Documentation of transmittal of tax revenue to finance officer.	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-12D-07 Rev. 0	LOCAL IMPROVEMENT DISTRICT ASSESSMENT ROLLS AND LEDGERS	Final payment plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-12D-08 Rev. 0	LOCAL IMPROVEMENT DISTRICT TAX STATEMENTS AND RECEIPTS	Final payment plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-12D-04 Rev. 0	STATE AND LOCAL TAX RETURNS Returns and reports submitted for taxes paid to state and/or local government agencies. Includes but is not limited to: Sales Tax, Use Tax, Regional Transit Authority Tax, Food and Beverage Tax, Litter Tax, Lodging Tax, State Public Utility Tax, Tobacco Products Tax, Petroleum and Hazardous Substances Tax, Solid Fuel Burning Device Tax, Syrup Tax, and Enhanced 911 Tax. <i>Note: Reference RCW 82.32.070, and Department of Revenue Advisory No. 3131.2009.</i>	Filing plus 5 years	NON-ARCHIVAL NON-ESSENTIAL OPR



4. HUMAN RESOURCE MANAGEMENT

The function of managing the local government agency's workforce.

4.1 AUTHORIZATION/CERTIFICATION

*The activity of agency **employees** (includes volunteers) seeking authorization/approval from regulating authorities for purposes relating to employee job activities. Excludes the granting of approval by local government agencies acting in a regulatory capacity, which is covered in the Local Government General Records Retention Schedule (LGRRS) and other sector-specific schedules.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS-AUTH-HR Rev. 0	<p>Authorizations Received From Regulatory Agencies – Human Resources (General)</p> <p>Records relating to mandatory or voluntary licenses, permits, accreditations, certifications, inspections, and other authorizations <u>received from</u> regulating authorities <u>by</u> local government agency employees (includes contractors and volunteers) in certain positions. May include drivers' licenses (individual or commercial), Emergency Medical Technician (EMT) certification or recertification, etc.</p> <p>Includes applications, confirmations, correspondence, violations/corrections, reports, etc.</p> <p>Excludes <u>licenses</u> issued by Washington State for the provision of health care or related services, which are covered by GS-HEALTH.</p>	<p>Retain for 6 years after authorization superseded or terminated <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
GS-HEALTH Rev. 0	<p>Authorizations Received From Regulatory Agencies – Human Resources (Health Care Providers Licensed by Washington State)</p> <p>Records relating to mandatory licenses received <u>from</u> a Washington State Agency (Department of Health, Department of Licensing, etc.) <u>by</u> a local government agency employee (includes contractors and volunteers) for the provision of health care or related services. Includes physicians, nurses, psychologists, physical therapists, physician's assistants, and all other health care providers licensed by Washington State.</p> <p>Includes applications, confirmations, correspondence, violations/corrections, reports, etc.</p> <p><i>Note: See RCW 4.16.350.</i></p>	<p>Retain for 8 years after authorization superseded or terminated <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR



4.2 BENEFITS

The activity of compensating employees via means other than salaries and wages.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-04D-01 Rev. 0	BENEFITS STUDIES AND SURVEYS	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OFM
GS59-01-02 Rev. 0	COMMUTE TRIP REDUCTION PARTICIPANT FILES Includes bonus voucher certification forms, registration forms, incentives and parking tracking files for compliance with Commute Trip Reduction Administration.	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS59-01-03 Rev. 0	COMMUTE TRIP REDUCTION PROGRAM ADMINISTRATIVE FILES Program administration documentation.	2 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-03E-03 Rev. 0	CONSOLIDATED OMNIBUS BUDGET RECONCILIATION ACT (COBRA) EXTENSION NOTICE AND ELECTION FORMS Document extension of health care benefit coverage upon termination of employment or other qualifying event.	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-04B-02 Rev. 0	CUMULATIVE LEAVE RECORD	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-03E-11 Rev. 0	DISABILITY, HEALTH AND WELFARE CLAIMS - EMPLOYEE	Settlement plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-04B-28 Rev. 0	EMPLOYEE ASSISTANCE PROGRAM SUPERVISOR'S REFERRAL DOCUMENTATION Documentation of referrals and completion of treatment by employees referred to the Employee Assistance Program by their supervisors to resolve work-related problems.	Termination of employment plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR



4.2 BENEFITS

The activity of compensating employees via means other than salaries and wages.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-04A-06 Rev. 0	EMPLOYEE ASSISTANCE PROGRAM CASE FILES Confidential personal records of the diagnosis of disabling personal problems and recommended professional treatment or problem solving plan together with a history of implementation of the plan. <i>Note: Reference RCW 4.16.350 (3).</i>	8 years after last treatment or session	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-04B-19 Rev. 0	EMPLOYEE ASSISTANCE PROGRAM FILES Quarterly reports, contracts, RFPs.	4 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-04D-02 Rev. 0	EMPLOYEE BENEFIT CONTRACTS/POLICIES/PLANS Includes insurance, deferred compensation, health care, etc.,	Until superseded or coverage lapses plus 6 years	NON-ARCHIVAL ESSENTIAL OPR
GS50-04D-03 Rev. 0	EMPLOYEE BENEFIT PARTICIPATION/ENROLLMENT AGREEMENTS AND WITHDRAWALS	Termination or withdrawal plus 6 years	NON-ARCHIVAL ESSENTIAL OPR
GS50-04B-40 Rev. 0	EMPLOYEE RETIREMENT BENEFIT HISTORY FILES – FOR AGENCIES OPERATING THEIR OWN PENSION SYSTEMS Documentation used to track status and changes in individual employee retirement benefits.	Termination of retirement benefit eligibility plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-04B-41 Rev. 0	EMPLOYEE RETIREMENT BENEFIT HISTORY FILES FOR EMPLOYEES THAT HAVE WITHDRAWN FROM THE SYSTEM – FOR AGENCIES OPERATING THEIR OWN PENSION SYSTEMS Documentation used to track status and changes in individual employee retirement benefits for employees that have withdrawn from agency's pension system, but retain rights to re-vest.	Withdrawal plus 60 years	NON-ARCHIVAL NON-ESSENTIAL OPR



4.2 BENEFITS

The activity of compensating employees via means other than salaries and wages.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-04B-42 Rev. 0	EMPLOYEE RETIREMENT BENEFIT VERIFICATION FILES - AGENCIES OPERATING THEIR OWN PENSION SYSTEMS Documentation of appropriate dispersal of employee retirement benefits.	Termination of retirement benefit eligibility plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-04B-43 Rev. 0	EMPLOYEE RETIREMENT BENEFIT VERIFICATION FILES FOR EMPLOYEES THAT HAVE WITHDRAWN FROM THE SYSTEM - FOR AGENCIES OPERATING THEIR OWN PENSION SYSTEMS Documentation of appropriate dispersal of employee retirement benefits for employees that have withdrawn from the agency's pension system, but retain rights to re-vest.	Withdrawal plus 60 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-04D-06 Rev. 0	LISTING OF PARTICIPANTS COVERED BY AGENCY HEALTH INSURANCE PROVIDERS – EMPLOYEE BENEFITS Report submitted monthly to the agency by the provider.	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06C-19 Rev. 0	MONTHLY STATEMENT OF BENEFITS PAID	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-04D-04 Rev. 0	MONTHLY STATEMENT OF EMPLOYEE BENEFITS PAID	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-04B-09 Rev. 0	REQUESTS FOR LEAVE/OVERTIME	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM



4.2 BENEFITS

The activity of compensating employees via means other than salaries and wages.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-04B-36 Rev. 0	RETIREMENT INVESTMENT PORTFOLIOS - AGENCIES OPERATING THEIR OWN PENSION SYSTEMS Documentation of all agency retirement system investment contracts, agreements and accounts, including domestic and international equities, domestic fixed income, real estate, venture and cash equivalents. May also include broker and partnership agreements, performance reports, correspondence, asset review and additional investment information.	Closeout of agreement, contract or account plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-04D-05 Rev. 0	UNEMPLOYMENT INSURANCE CLAIMS OF INDIVIDUAL EMPLOYEES	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS59-01-04 Rev. 0	YEARLY SURVEY/QUESTIONNAIRE OF EMPLOYEES COMMUTE TRIP REDUCTION	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM



4.3 EQUITY

The activity of ensuring fairness and equal opportunities for all employees.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-04C-02 Rev. 0	AFFIRMATIVE ACTION FORECASTS	2 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-04C-03 Rev. 0	AFFIRMATIVE ACTION PLANS	Keep until superseded plus 6 years - Potential archival value	ARCHIVAL (Appraisal Required) ESSENTIAL OPR
GS50-01-54 Rev. 0	AFFIRMATIVE ACTION STUDIES AND REPORTS	5 years - Potential archival value	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM



4.4 INDUSTRIAL INSURANCE

The activity relating to the coverage of medical expenses and salary compensation for work related injuries and illnesses.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-06C-24 Rev. 0	CLAIMS COSTS REPORTS OR STATEMENTS Compilation of costs of processing claims against self-insured liabilities.	4 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06C-06 Rev. 1	<i>Employer's Quarterly Report for Industrial Insurance (Workers' Compensation)</i> <i>Note: Department of Labor and Industries (L&I) retains one copy for 6 years in accordance with L&I's records retention schedule.</i>	Retain for 3 years after date of report <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06C-01 Rev. 0	INDUSTRIAL INSURANCE CLAIM LOG	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS2010-082 Rev. 0	<i>Law Enforcement Officers and Fire Fighters (LEOFF 1) Injury/Disability Claims</i> Records relating to injury and disability claims filed by law enforcement officers and fire fighters who are members of the Washington State Law Enforcement Officers' and Fire Fighters' Retirement System (LEOFF) Plan 1, in accordance with chapter 41.26 RCW . Includes, but is not limited to: <ul style="list-style-type: none"> • Medical, dental, vision, long-term care records; • Claim and insurance payment information. Excludes Local Disability Board records, which are covered by GS50-05A-13. <i>Note: LEOFF Plan 2 injury/disability claims are covered by GS50-06C-02, GS2010-084, GS50-06C-27, or GS50-06C-31.</i>	Retain for 6 years after death of individual <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



4.4 INDUSTRIAL INSURANCE

The activity relating to the coverage of medical expenses and salary compensation for work related injuries and illnesses.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-06C-05 Rev. 1	<i>Self-Insured Employer Certification</i> <i>Note: Department of Labor and Industries (L&I) retains one copy for 6 years after termination of certification in accordance with L&I's records retention schedule.</i>	Retain for 2 years after certification withdrawn or surrendered <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
GS2010-083 Rev. 0	<i>Volunteer Fire Fighters' and Reserve Officers' Relief Claims</i> Records relating to injury and disability relief claims filed by volunteer fire fighters and reserve officers in accordance with chapter 41.24 RCW . <i>Note: Claims filed with the State Board for Volunteer Firefighters and Reserve Officers (SBVFRO) are retained permanently in accordance with the SBVFRO's records retention schedule.</i>	Retain for 6 years after claim closed <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-06C-02 Rev. 1	<i>Workers' Compensation Claims (Department of Labor and Industries) – General</i> Records relating to workers' compensation claims filed by employees (and volunteers) of agencies insured by the Department of Labor & Industries (L&I) in accordance with Title 51 RCW and Title 296 WAC . Includes, but is not limited to, Reports of Industrial Injury or Occupational Disease. Excludes claims for eye injuries covered by GS2010-084. <i>Note: L&I retains compensable claims for 75 years and non-compensable claims for 40 years in accordance with its records retention schedule.</i>	Retain for 7 years after claim closed <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



4.4 INDUSTRIAL INSURANCE

The activity relating to the coverage of medical expenses and salary compensation for work related injuries and illnesses.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS2010-084 Rev. 0	Workers' Compensation Claims (Department of Labor and Industries) – Eye Injuries Records relating to workers' compensation claims for injuries to eyes filed by employees (and volunteers) of agencies insured by the Department of Labor & Industries (L&I) in accordance with Title 51 RCW and Title 296 WAC . Includes, but is not limited to, Reports of Industrial Injury. <i>Note: L&I retains compensable claims for 75 years and non-compensable claims for 40 years in accordance with its records retention schedule.</i>	Retain for 10 years after claim closed then Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-06C-27 Rev. 1	Workers' Compensation Claims (Self-Insured) – Compensable Records relating to compensable workers' compensation claims filed by employees (and volunteers) of self-insured agencies in accordance with Title 51 RCW and Title 296 WAC . Includes, but is not limited to, Self-Insurance Report of Occupational Injury or Disease. <i>Note: All files of defaulting self-insured employers shall be transferred to and will be retained by Department of Labor and Industries (L&I) for 75 years after claim closed in accordance with L&I's records retention schedule.</i>	Retain for 75 years after claim closed then Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-06C-31 Rev. 1	Workers' Compensation Claims (Self-Insured) – Non-Compensable Records relating to non-compensable workers' compensation claims filed by employees (and volunteers) of self-insured agencies in accordance with Title 51 RCW and Title 296 WAC . Includes, but is not limited to, Self-Insurance Report of Occupational Injury or Disease. <i>Note: All files of defaulting self-insured employers shall be transferred to and will be retained by Department of Labor and Industries (L&I) for 40 years after claim closed in accordance with L&I's records retention schedule.</i>	Retain for 40 years after claim closed then Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



4.5 LABOR RELATIONS

The activity of managing relationships dealing with the negotiation of labor.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-04E-04 Rev. 0	COLLECTIVE BARGAINING CONTRACT AND AGREEMENT NEGOTIATIONS FILES <i>Note: Records from this series may be selected to be transferred to and preserved at a Regional Archives branch subject to any restrictions provided by collective bargaining contracts and agreements.</i>	Until approval of negotiated agreement - Potential archival value	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
GS50-01-50 Rev. 0	COLLECTIVE BARGAINING AGREEMENTS	Termination plus 6 years - Potential archival value	ARCHIVAL (Appraisal Required) ESSENTIAL OPR
GS50-04E-06 Rev. 0	UNION ARBITRATION FILES Case histories of disputes between agency and union settled through arbitration.	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-04E-05 Rev. 0	UNION ORGANIZATION LISTS	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OFM



4.6 MISCONDUCT

The activity of investigating and responding to employee misconduct, grievances and disciplinary matters.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-04B-45 Rev. 0	CIVIL SERVICE CASE FILES - NOT HEARD Cases may not be heard for the following reasons: unprepared, resolved, referred to another jurisdiction, ineligible employees or withdrawn.	Administrative Closure plus 3 years.	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-04B-35 Rev. 0	CIVIL SERVICE COMMISSION CASE FILE Documentation of cases of violations or disciplinary actions submitted to the Civil Service Commission.	Case resolved or closed plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-04B-37 Rev. 0	CIVIL SERVICE COMMISSION EXHIBITS - PETITION FOR REVIEW FILED Exhibits from Civil Service Commission hearings for which petitions for review and/or petitions for reconsideration have been filed, including documents, affidavits and depositions.	Petition for review or petition for reconsideration filed plus 3 years, <i>whichever is later</i> .	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-04B-38 Rev. 0	CIVIL SERVICE COMMISSION EXHIBITS - PETITION FOR REVIEW NOT FILED Exhibits from Civil Service Commission hearings for which petitions for review and/or petitions for reconsideration have not been filed, including documents, affidavits and depositions.	Expiration of review or reconsideration period plus 3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-04B-39 Rev. 0	CIVIL SERVICE COMMISSION INVESTIGATION FILES Documentation of investigation of improper hiring decisions and practices.	Case resolved or closed plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-04B-15 Rev. 0	EMPLOYEE CORRECTIVE ACTION AND PROBATION DOCUMENTS	6 years after completion of probation or disciplinary action or destroy according to the provisions of collective bargaining contracts and agreements.	NON-ARCHIVAL NON-ESSENTIAL OPR



4.6 MISCONDUCT

The activity of investigating and responding to employee misconduct, grievances and disciplinary matters.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-04E-03 Rev. 1	<p>Employee Grievances</p> <p>Records relating to complaints and grievances relating to workplace issues filed with the local government agency by its employees.</p> <p>Excludes:</p> <ul style="list-style-type: none"> • Appeal hearings records of the local decision-making body covered by GS-HEARING. • Civil rights violation complaints covered by GS50-04C-04. 	Retain for 6 years after matter resolved then Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-04B-46 Rev. 1	<p>Employee Misconduct Investigation Files – Sustained</p> <p>Documentation compiled in official investigations of employee misconduct that result in findings of misconduct by the employee, which may include the complaint initiating the investigation, investigative reports, statements, taped information, corrective action, correspondence and notes.</p> <p>Excludes investigative summary report covered by GS50-04B-06, Personnel File.</p> <p>Excludes workplace violence case files covered by GS50-05A-24.</p> <p><i>Note: Collective bargaining agreements and civil service rules & regulations may require a <u>longer</u> minimum retention period.</i></p>	Retain for 3 years after case closed then Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-04B-47 Rev. 1	<p>Employee Misconduct Investigation Files – Unfounded</p> <p>Documentation compiled in official investigations of employee misconduct that <u>do not</u> result in findings of misconduct by the employee, which may include the complaint initiating the investigation, investigative reports, statements, taped information, corrective action, correspondence and notes.</p> <p><i>Note: Collective bargaining agreements and civil service rules & regulations may require a <u>longer</u> minimum retention period.</i></p>	Retain until case closed then Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



4.6 MISCONDUCT

The activity of investigating and responding to employee misconduct, grievances and disciplinary matters.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-01-51 Rev. 0	<p>FINAL AGREEMENT</p> <p>A written agreement the parties enter into at the conclusion of the resolution process, which sets forth the settlement of the issues and the future responsibilities of each party, if any.</p> <p><i>Note: Reference chapter 7.75 RCW.</i></p>	Termination or withdrawal plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-01-52 Rev. 0	<p>INITIAL AGREEMENT</p> <p>A written agreement that expresses the method by which the disputing parties shall attempt to resolve the issues in dispute.</p> <p><i>Note: Reference chapter 7.75 RCW.</i></p>	Termination or withdrawal plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-04B-25 Rev. 0	<p>WHISTLEBLOWER INVESTIGATION REPORTS</p> <p>Agency copies of investigations of allegations of fraud or violations of state laws or regulations. Also includes documentation of investigations into alleged retaliation against individuals making such allegations.</p>	Case closed plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-05A-24 Rev. 0	<p>WORKPLACE VIOLENCE CASE FILES</p> <p>Case files document incidents involving internal workplace violence. Includes investigation, treatment, follow-up, correspondence, corrective measures, etc. May include secondary copies of documentation filed in an individual's personnel file.</p> <p><i>*"Case closed" is intended to mean that point in time when all investigation and follow-up have been resolved, and no investigation or follow-up is required.</i></p>	Case closed plus 6 years*	NON-ARCHIVAL NON-ESSENTIAL OFM



4.7 OCCUPATIONAL HEALTH AND SAFETY

The activity of creating and maintaining a safe and healthy work environment for employees.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS51-05D-10 Rev. 0	AUDIOMETRIC TEST RECORDS – INDIVIDUAL EMPLOYEE <i>Note: Reference WAC 296-817-400.</i>	Retain for the duration of the affected employee's employment	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-04B-30 Rev. 1	Employee Medical Records - General Records documenting the medical condition of employees (includes contractors and volunteers), their physical condition, the effects of workplace conditions on their health, and their physical ability to perform essential job functions. Excludes hazardous materials exposure records covered by GS-A/I-HAZ, <i>Accidents/Incidents (Hazardous Materials) – Human Exposure</i> . <i>Note: Reference 29 CFR § 1910.1020(14)(d)(i) and WAC 296-802-20005. Health insurance claims records maintained separately from medical program records and records of first-aid treatment made on-site by a non-physician and filed separately from the employee medical records, are not required to be retained for 30 years after termination of employment, and thus are not considered part of this records series.</i>	Retain for 30 years after termination of employment <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
GS-1-YEAR Rev. 0	Employee Medical Records – Employed Less Than One Year Records documenting the medical condition of employees (includes contractors and volunteers) whose service with the agency is less than one year and where the medical records are provided to the employee in accordance with 29 CFR § 1910.1020(14)(d)(i)(C) . Excludes hazardous materials exposure records covered by GS-A/I-HAZ, <i>Accidents/Incidents (Hazardous Materials) – Human Exposure</i> . <i>Note: Reference WAC 296-802-20005.</i>	Retain until termination of employment <i>then</i> Provide to employee upon departure.	NON-ARCHIVAL NON-ESSENTIAL OPR



4.7 OCCUPATIONAL HEALTH AND SAFETY

The activity of creating and maintaining a safe and healthy work environment for employees.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS51-05D-11 Rev. 0	ERGONOMIC FILES Ergonomic files document the analysis, action, and measures taken to adjust workplace environment to help prevent work-related injuries. Files include name of employee, supervisor, organization unit, location, and action taken to adjust workstation or environment.	Last action taken plus 3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06C-10 Rev. 0	FIRE AND OTHER EMERGENCY DRILL REPORTS	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-04B-04 Rev. 0	HEPATITIS B VIRUS (HBV) AND HUMAN IMMUNODEFICIENCY VIRUS (HIV) EXPOSURE REPORTS AND WAIVERS <i>Note: Reference 29 CFR § 1910.1020.</i>	Termination of employment plus 30 years	NON-ARCHIVAL ESSENTIAL OPR
GS50-06C-33 Rev. 0	INDUSTRIAL HYGIENE MONITORING FILES Files document the monitoring of agency work environments for industrial health issues. May be for air quality, noise level, , presence of chemicals, , etc. Includes sample, test results, corrective action taken if any, etc.,	30 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-06C-21 Rev. 0	OCCUPATIONAL INJURIES AND ILLNESSES U.S. BUREAU OF LABOR STATISTICS LOG AND SUMMARY	5 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-06C-20 Rev. 0	PENALTY ASSESSMENT NOTIFICATION	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS51-05D-07 Rev. 0	RESPIRATOR FIT TEST RECORDS <i>Note: Reference WAC 296-842-12010.</i>	Destroy after next test administered	NON-ARCHIVAL NON-ESSENTIAL OFM



Washington State Archives
Office of the Secretary of State

Local Government Common Records Retention Schedule (CORE)
Version 2.2 (December 2011)

4.7 OCCUPATIONAL HEALTH AND SAFETY

The activity of creating and maintaining a safe and healthy work environment for employees.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS51-05D-08 Rev. 0	RESPIRATOR PROGRAM FILES <i>Note: Reference WAC 296-842-12010.</i>	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OFM
GS51-05D-06 Rev. 0	WORKPLACE HAZARD ASSESSMENT CERTIFICATION Includes name of workplace, address of workplace inspected for hazards, name of person certifying assessment was done, date(s) assessment done, and statement identifying the document as the certification of assessment for the workplace. <i>Note: Reference WAC 296-800-16010.</i>	Destroy when superseded plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR



4.8 PERFORMANCE MANAGEMENT

The activity of assessing and directing employee progress toward performance goals.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-04B-20 Rev. 0	EMPLOYEE SUGGESTION PROGRAM FILES Original suggestion forms, evaluation forms, recommendation form, and correspondence to document and process employee suggestion files.	3 years after determination of suggestion	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-04B-31 Rev. 0	PERFORMANCE EVALUATION BACKGROUND FILE – SUPERVISOR	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-04A-08 Rev. 0	PERFORMANCE EVALUATIONS Evaluation of employee work performance, prepared by supervisor on a regular schedule.	Completion of Evaluation plus 3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-04B-29 Rev. 0	WORK ASSIGNMENT RECORD, SCHEDULE OR LOG Documentation of day-to-day tasks or projects assigned to and/or completed by individual staff or crews.	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM



4.9 PERSONNEL

The activity of documenting an individual's employment with the local government agency. Includes volunteers.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-04B-27 Rev. 0	DRUG/ALCOHOL TEST RESULTS – POSITIVE RESULTS OR REFUSAL TO TEST (AGENCY EMPLOYEES) Files document drug/alcohol testing for cases with reasonable suspicion of abuse/use of substance. Includes drug/ alcohol test results, corrective action, treatment, etc. <i>Note: Reference 49 CFR § 382.401.</i>	Date of results plus 5 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-04B-33 Rev. 0	DRUG/ALCOHOL TEST RESULTS – NEGATIVE RESULTS OR CANCELED TESTS (AGENCY EMPLOYEES) <i>Note: Reference 49 CFR § 382.401.</i>	Results posted or test canceled plus 1 year	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-04B-44 Rev. 0	EMPLOYEE AWARD FILES Files contain records related to employee award programs such as recognition of outstanding performance, length of service, incentive plans, etc. May include recommendations, approved nominations, appreciation letters and additional related information.	Date of Award plus 2 years.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
GS50-04B-13 Rev. 0	EMPLOYEE CONTRACTS – SUPERSEDED Contracts superseded within fiscal year.	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-04B-14 Rev. 0	EMPLOYEE DIRECTORY/ROSTER	Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM



4.9 PERSONNEL

The activity of documenting an individual's employment with the local government agency. Includes volunteers.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-04B-06 Rev. 1	<p>Personnel File</p> <p>May include, but is not limited to:</p> <ul style="list-style-type: none"> • Application for employment when hired, start of employment, identification; • Citations, letters of recommendation; • Criminal history, background checks and investigations; • Employment status, position descriptions and job classifications, personal history cards, raises, etc.; • Evaluation of applications of recognition or non-college credit courses; • Oaths of office and bonds of officials (elected and appointed); • Retirement or disability resulting in employment termination; • Summary report of employee misconduct investigations (sustained only). <p><i>Note: Collective bargaining agreements and civil service rules & regulations may require a <u>longer</u> minimum retention period.</i></p>	<p>Retain for 6 years after termination of employment <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OFM
GS50-04B-23 Rev. 0	<p>TEMPORARY AGENCY WORKER ACCOUNTS</p> <p>Tracks temporary agency workers hired using original request forms moved to individual departments.</p>	Termination of employment plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-04B-10 Rev. 0	<p>VOLUNTEER FILES</p> <p>Documents work service of individual volunteer. Includes application.</p>	Termination of volunteer service plus 6 years	NON-ARCHIVAL ESSENTIAL OPR



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4.10 POSITION DEVELOPMENT/STAFF STRUCTURE

The activity of structuring and organizing human resources.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-04B-05 Rev. 0	JOB DESCRIPTIONS Current statement of qualifications, responsibilities, and duties of each individual position.	Destroy when obsolete or superseded plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-04B-07 Rev. 0	POSITION CLASSIFICATION STUDIES Details on specific role and position of each job title, duties, obligations, etc.	Destroy when obsolete or superseded plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-04B-08 Rev. 0	POSITION DESCRIPTION HISTORY FILES A history of positions, classifications, and corresponding job descriptions as these positions are revised. (Serves as writing aid for the development of future positions.)	PERMANENT	NON-ARCHIVAL NON-ESSENTIAL OPR



4.11 RECRUITMENT/HIRING

The activity of screening, selecting and employing of individuals. Includes volunteers.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-04B-01 Rev. 0	APPLICATION FOR EMPLOYMENT WHEN APPLICANT IS NOT HIRED	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-04A-02 Rev. 0	CIVIL SERVICE COMMISSION JOURNAL Account of activity pertaining to certain civil service job openings. Contains names, test scores, and an indication of whether or not the persons involved are on an eligibility list, etc. <i>Note: One copy of each available report should be assembled for transfer to Regional Archives.</i>	Expiration plus 1 year	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
GS50-04A-03 Rev. 0	CIVIL SERVICE EXAMINATION (PASSED BUT NOT HIRED) Examinations of those applicants that are on eligibility list, but have not been hired.	2 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-04A-04 Rev. 0	ELIGIBILITY LIST OR REGISTER List of individuals eligible to fill specific positions.	2 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-04B-11 Rev. 0	EMPLOYEE & VOLUNTEER FINGERPRINT LISTING Listings of newly hired employees fingerprinted for criminal background checks.	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-05A-26 Rev. 0	EMPLOYMENT ELIGIBILITY DOCUMENTS – IMMIGRATION AND NATURALIZATION SERVICES (INS) FORM I-9 Documents used to verify employment eligibility within the United States. Series may include: Federal I-9 forms, passport copies, copies of valid driver's license, copies of certificate of naturalization, etc. <i>Note: Reference 8 CFR § 24a.2 (2)(A).</i>	Date employee hired plus 3 years or termination of employment plus 1 year, <i>whichever is later.</i>	NON-ARCHIVAL NON-ESSENTIAL OPR



4.11 RECRUITMENT/HIRING

The activity of screening, selecting and employing of individuals. Includes volunteers.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-04A-05 Rev. 0	EMPLOYMENT INQUIRIES Applications filled out by persons requesting positions and test announcement information.	1 year	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-04B-16 Rev. 0	EMPLOYMENT INTERVIEW EVALUATION FILES Includes test results.	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-04B-17 Rev. 0	EMPLOYMENT REQUISITION/ PERSONNEL ACTION REQUEST May contain position specifications, needs analysis, and authorization signatures.	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-04B-18 Rev. 0	JOB ANNOUNCEMENTS OR POSTINGS	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-04B-22 Rev. 0	RECRUITMENT FILES Documents recruitment and selection process for each advertised position, including newspaper announcement, job description, working papers/notes, applicant list, interview questions and notes, selection documents, and employee applications. <i>Note: Per RCW 4.16.080, the statute of limitations for the commencement of actions for equal employment opportunity discrimination complaints (injury to the rights of others) is 3 years.</i>	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-04B-24 Rev. 0	VOLUNTEER APPLICATIONS NOT ACCEPTED OR INELIGIBLE	Application denied plus 1 year	NON-ARCHIVAL NON-ESSENTIAL OFM



4.12 REPORTING

The activity of providing information about agency employees as required by regulating authorities. Includes volunteers and contractors.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-04C-05 Rev. 1	<p>Reporting – Human Resources</p> <p>Records relating to human resources and submitted to regulatory agencies as required by federal, state or local law, where not covered by a more specific records series. Includes reports, confirmation of submission, correspondence, inquiries, etc.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Employer Information Report EEO-1 filed with the Equal Employment Opportunity Commission in accordance with <u>29 CFR § 1602.7</u>; • Elementary-Secondary Staff Information Report EEO-5 filed with the Equal Employment Opportunity Commission in accordance with <u>29 CFR § 1602.41</u>; • New Hire Reports filed with the Department of Social and Health Services (DSHS) in accordance with <u>RCW 26.23.040</u>; • Commute trip reduction plans and annual progress reports filed with the Commute Trip Reduction Board in accordance with <u>RCW 70.94-527(7),(8)</u>. 	<p>Retain for 4 years after submitted to regulatory agency <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>



4.13 STAFF DEVELOPMENT

The activity of enhancing employees' competencies and skills through programs and training.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-04B-34 Rev. 0	APPRENTICE CERTIFICATION FILES/TRAINING Documentation of classes taken, attendance, evaluations, certifications and on-the-job performance compiled for individuals participating in an apprenticeship program that will be used to meet future job requirements in and out of the agency.	50 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-05A-23 Rev. 1	CONTINUING PROFESSIONAL EDUCATION RECORDS Records documenting completion of continuing education requirements by individual employees.	End of licensing or reporting period plus 4 years	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-04G-01 Rev. 0	EMPLOYEE TRAINING HISTORY FILE Files documenting the training history of individual employees who have participated in training and staff development programs. May include in-service and class registrations, confirmations, and documentation of training completed.	Termination plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-04G-02 Rev. 0	TRAINING/CLASS COMPLETION REPORT Listings of employees and the classes or training exercises that have been completed. Produced on a periodic basis.	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM



5. INFORMATION MANAGEMENT

The function of managing the local government agency's information, including electronic information systems, forms and publications, mail services, library services, records management, and public disclosure.

5.1 FORMS AND PUBLICATIONS

The activity of drafting, producing, and managing the local government agency's forms and publications.

See **FINANCIAL MANAGEMENT – Accounting** for financial records relating to forms and publications.

See **ASSET MANAGEMENT – Inventory** for forms and publications inventories.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS2010-011 Rev. 0	Forms – Accountable Unused, pre-numbered forms such as checks, receipts, invoices, meal tickets and licenses.	Retain for 3 fiscal years <i>or</i> until completion of State Auditor's report, <i>whichever is sooner then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
GS2010-012 Rev. 0	Forms – Master Set Master set of all forms created by the agency. Also includes source materials (.pdfs, camera-ready copies, original photographs/images, etc.) Excludes web-based forms covered by DAN GS50-06A-03.	Retain until use of form ceases <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
GS2010-013 Rev. 0	Forms and Publications – Creation Records relating to the design, creation, and revision of agency-created forms and publications. Includes, but is not limited to: <ul style="list-style-type: none"> • Job descriptions/specifications/design records; • Sample job products/proofs/samples. Excludes web-based forms covered by DAN GS50-06A-03.	Retain until no longer needed for agency business <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



5.1 FORMS AND PUBLICATIONS

The activity of drafting, producing, and managing the local government agency's forms and publications.

See **FINANCIAL MANAGEMENT – Accounting** for financial records relating to forms and publications.

See **ASSET MANAGEMENT – Inventory** for forms and publications inventories.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-06F-04 Rev. 1	<p><i>Publications – Master Set</i></p> <p>Master set of all publications created by the agency. Also includes source materials (.pdfs, camera-ready copies, original photographs/digital images, etc.).</p> <p>Publications include, but are not limited to:</p> <ul style="list-style-type: none"> • Reports, manuals, brochures; • Newsletters, magazines, journals; • Maps, plans, charts; • Audio/video recordings and films/presentations. 	<p>Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM</p>



5.2 LIBRARY SERVICES

The activity of circulating a collection of materials. Includes public, school, and internal agency libraries.

See **FINANCIAL MANAGEMENT – Accounting** for financial records relating to library services.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-12A-03 Rev. 1	<p>Annual Report of Trustees</p> <p>Records relating to the annual reporting of statistics to the library's legislative body and the State Librarian in accordance with RCW 27.12.260.</p> <p><i>Note: Reports received by the Washington State Library are designated Archival in accordance with the Office of the Secretary of State's records retention schedule.</i></p>	<p>Retain for 3 years after report submitted <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
GS50-12A-01 Rev. 1	<p>Catalog</p> <p>Records describing the library information sources owned by the agency.</p>	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OFM
GS50-12A-02 Rev. 1	<p>Circulation</p> <p>Records relating to the borrowing, lending, and returning of items in the library's collection. Includes, but is not limited to:</p> <ul style="list-style-type: none"> Item circulation history; User/patron records (applications for membership, borrower registration, parent/guardian permissions). <p>Excludes interlibrary loans covered by DAN GS50-12A-08.</p>	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM



5.2 LIBRARY SERVICES

The activity of circulating a collection of materials. Includes public, school, and internal agency libraries.

See **FINANCIAL MANAGEMENT – Accounting** for financial records relating to library services.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-12A-08 Rev. 1	<p>Collection Control – General</p> <p>Records documenting the physical control of the library's collection.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Accession and deaccession (discard) of items; • Interlibrary loans; • Shelf list/inventory of holdings. <p>Excludes special collections covered by GS2010-023.</p> <p><i>Note: Agreements relating to bequests are covered by GS50-01-11.</i></p>	<p>Retain for 3 fiscal years <i>or</i> until completion of State Auditor's report, <i>whichever is sooner</i> then Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL OPR</p>
GS2010-023 Rev. 0	<p>Collection Control – Special Collections</p> <p>Records documenting the physical control of the library's special collections (archival, manuscript, rare books, etc.).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Accession and deaccession (discard) of items; • Interlibrary loans; • Shelf list/inventory of holdings. <p><i>Note: Agreements relating to bequests are covered by GS50-01-11.</i></p>	<p>Retain until special collection items no longer needed for agency business <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) ESSENTIAL OPR</p>
GS2010-024 Rev. 0	<p>Special Collections</p> <p>Items in the library's special collections, including, but not limited to:</p> <ul style="list-style-type: none"> • Archival collections; • Manuscripts; • Rare books. 	<p>Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>



5.3 MAIL SERVICES

The activity of managing the circulation of printed information. Includes incoming and outgoing, internal and external mail processes.

See **FINANCIAL MANAGEMENT – Accounting** for financial records relating to mail services.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-06D-02 Rev. 1	<p>Mail Delivery and Receipt</p> <p>Records documenting the agency's incoming and outgoing physical mail (letters, packages, etc.).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Certified/registered/insured mail logs and return receipts; • Postage meter logs/reports; • Private ground delivery registers/receipts (UPS, Federal Express, etc.); • Signed pick-up and delivery receipts; • United States Postal Service (USPS) forms (certificate of bulk mailing, etc.). <p><i>Note: Contracts/agreements/permits relating to mailing services and equipment are covered by GS50-01-11.</i></p>	<p>Retain for 3 fiscal years <i>or</i> until completion of State Auditor's report, <i>whichever is sooner</i> <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>



5.4 PUBLIC DISCLOSURE

The activity of responding to requests for access to the public records of the local government agency in accordance with [chapter 42.56 RCW](#).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-09-13 Rev. 2	<p>Public Disclosure/Records Request Logs</p> <p>Records documenting the tracking of public records requests made in accordance with chapter 42.56 RCW.</p> <p><i>Note: Exemption logs are covered by DAN GS2010-014.</i></p>	<p>Retain for 3 years after date of latest entry then Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS2010-014 Rev. 2	<p>Public Disclosure/Records Requests</p> <p>Records relating to requests from the general public for access to the agency's public records in accordance with chapter 42.56 RCW.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Internal and external correspondence relating to the request; • Records documenting the public records provided to the requestor (copies or lists of the records provided, etc.); • Records documenting the public records (or portions) withheld (exemption logs, copies of portions redacted, etc.); • Records documenting administrative reviews relating to the request. <p>Excludes the records that are the subject of the public records request (which must be retained in accordance with the applicable records series).</p>	<p>Retain for 2 years after public records request fulfilled then Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR



5.5 RECORDS CONVERSION

The activity of converting the agency's public records from one form (source records) to another (converted records) through the processes of imaging (digitization or microfilm preservation) or data migration (digital or magnetic).

As per WAC 434-662-040, electronic records must be retained in electronic format. For information on microfilm standards or obtaining approval for early destruction of source documents after imaging, please contact Washington State Archives.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS2010-015 Rev. 0	<p>Conversion Process – Archival Records</p> <p>Records documenting the <u>process</u> of converting the agency's Archival public records from one form to another where not captured in the metadata of the converted records.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Migration of digital records (mapping schemas, testing reports, etc.); • Digitization of paper-based records (tests, inspection results, etc.); • Microfilming of digital and/or paper-based records (arrangement of originals, guide sheets, etc.); • Transfer of magnetic recordings. <p><i>Note: The source records are covered by GS2010-017 or GS2010-018.</i></p>	<p>Retain until the converted Archival records are transferred to Washington State Archives <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM</p>
GS2010-016 Rev. 0	<p>Conversion Process – Non-Archival Records</p> <p>Records documenting the <u>process</u> of converting the agency's Non-Archival public records from one form to another where not captured in the metadata of the converted records.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Migration of digital records (mapping schemas, testing reports, etc.); • Digitization of paper-based records (tests, inspection results, etc.); • Microfilming of digital and/or paper-based records (arrangement of originals, guide sheets, etc.); • Transfer of magnetic recordings. <p><i>Note: The source records are covered by GS50-09-14 or GS2010-018.</i></p>	<p>Retain until the converted Non-Archival records have been destroyed in accordance with a current approved records retention schedule <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>



5.5 RECORDS CONVERSION

The activity of converting the agency's public records from one form (source records) to another (converted records) through the processes of imaging (digitization or microfilm preservation) or data migration (digital or magnetic).

As per WAC 434-662-040, electronic records must be retained in electronic format. For information on microfilm standards or obtaining approval for early destruction of source documents after imaging, please contact Washington State Archives.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS2010-017 Rev. 0	<p>Source Records – Imaged (Archival)</p> <p>Archival source records which have been imaged using either of the following processes:</p> <ul style="list-style-type: none"> Digitized in accordance with a valid approval by Washington State Archives in accordance with WAC 434-663; or, Microfilmed in accordance with <i>Washington State Standards for the Production and Use of Microfilm</i>. <p>And, provided that the converted records are retained in accordance with a current approved records retention schedule.</p> <p>Excludes Superior Court source records covered by GS2010-085.</p>	<p>Retain until verification of successful conversion <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM</p>
GS50-09-14 Rev. 1	<p>Source Records – Imaged (Non-Archival)</p> <p>Non-Archival source records which have been imaged using either of the following processes:</p> <ul style="list-style-type: none"> Digitized in accordance with a valid approval by Washington State Archives in accordance with WAC 434-663; or, Microfilmed in accordance with Washington State Standards for the Production and Use of Microfilm; or, <p>And, provided that the converted records are retained in accordance with a current approved records retention schedule.</p>	<p>Retain until verification of successful conversion <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>



5.5 RECORDS CONVERSION

The activity of converting the agency's public records from one form (source records) to another (converted records) through the processes of imaging (digitization or microfilm preservation) or data migration (digital or magnetic).

As per WAC 434-662-040, electronic records must be retained in electronic format. For information on microfilm standards or obtaining approval for early destruction of source documents after imaging, please contact Washington State Archives.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS2010-018 Rev. 0	<p>Source Records – Migrated</p> <p>Non-paper-based source records which have been migrated to another non-paper-based format such as:</p> <ul style="list-style-type: none"> Digital records which are migrated to another digital format; Magnetic records (VHS, cassette tapes, reel to reel, 8-track tapes, etc.) which are migrated to another magnetic or a digital format. <p>And, provided that the converted records are retained in accordance with a current approved records retention schedule.</p> <p>Excludes paper- and film-based source records covered by DANs GS2010-017 and GS50-09-14.</p>	<p>Retain until verification of successful conversion <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS2010-085 Rev. 0	<p>Source Records – Reproduced (Superior Court Records)</p> <p>Superior Court records which have been reproduced in accordance with RCW 36.23.065, and, provided that the converted records are retained in accordance with a current approved records retention schedule.</p>	<p>Retain until verification of successful conversion <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM



5.6 RECORDS MANAGEMENT

The activity of systematically controlling the lifecycle of the local government agency's public records (creation or receipt, use, maintenance, and disposition).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS2010-019 Rev. 0	Conservation (Archival) Conservation treatment records documenting repair to public records designated as Archival.	Retain until the Archival records are transferred to Washington State Archives <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
GS2010-020 Rev. 0	Conservation (Non-Archival) Conservation treatment records documenting repair to public records designated as Non-Archival.	Retain until the Non-Archival records have been destroyed in accordance with a current approved records retention schedule <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-09-06 Rev. 1	Destruction of Public Records Records relating to the destruction of the agency's public records. Includes, but is not limited to: <ul style="list-style-type: none"> • Destruction logs; • Affidavits; • Agency authorizations; • Certificates/Notices of destruction. 	Retain for the life of the agency.	NON-ARCHIVAL ESSENTIAL OPR



5.6 RECORDS MANAGEMENT

The activity of systematically controlling the lifecycle of the local government agency's public records (creation or receipt, use, maintenance, and disposition).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-09-02 Rev. 1	<p>Records Control</p> <p>Records relating to the physical and intellectual control of the agency's records, including, but not limited to:</p> <ul style="list-style-type: none"> • Essential records lists; • Files classification schemes/guidelines; • Inventories; • Records center transmittals/retrievals; • Master indexes, lists, registers, tracking systems, databases, and other finding aids used to access public records designated as Non-Archival. <p><i>Note: Master indexes, lists, registers, tracking systems, databases and other finding aids for public records designated as Archival should be retained with the records and transferred to Washington State Archives.</i></p>	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-09-01 Rev. 1	<p>Retention and Disposition Authorization</p> <p>Records relating to the retention of the agency's records in accordance with chapter 40.14 RCW, including, but not limited to:</p> <ul style="list-style-type: none"> • Internal working guides abstracted from approved records retention schedules; • Application for Early Destruction of Source Documents after Digitization (DAD) or Electronic Imaging Systems (EIS) application, <i>provided that</i> the original is retained by the Washington State Archives; • Agency's copies of records retention schedules approved by the Local Records Committee in accordance with RCW 40.14.070, <i>provided that</i> the original is retained by the Local Records Committee. 	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM



5.6 RECORDS MANAGEMENT

The activity of systematically controlling the lifecycle of the local government agency's public records (creation or receipt, use, maintenance, and disposition).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS2010-021 Rev. 0	<p><i>Transfer of Legal Custody</i> Records relating to the transfer of the agency's legal custody of its public records under one of the following circumstances:</p> <ul style="list-style-type: none"> • Transfer of Archival records to Washington State Archives; • Lawful transfer to another government entity (state agency, other local government agency, etc.); • Donation of public records (to a public library, historical or genealogical society, etc.), with the approval of the State Archivist in accordance with RCW 40.14.070(3). 	Retain for the life of the agency.	NON-ARCHIVAL ESSENTIAL OFM



6. RECORDS WITH MINIMAL RETENTION VALUE

This section covers records created or received by the agency which are typically of short-term, temporary informational use.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-02-01 Rev. 0	Agency Information – Routine Internal and external requests for, and provision of, routine information about the operations of the agency, such as: <ul style="list-style-type: none"> • Business hours, locations/directions, web/email addresses; • Meeting dates/times. 	Retain until no longer needed for agency business <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-02-02 Rev. 0	Agency-Generated Forms and Publications – Copies Blank forms and duplicate copies of publications, <i>provided that</i> the agency retains the primary record in accordance with the current approved minimum retention period. Includes, but is not limited to: <ul style="list-style-type: none"> • Reports, catalogs, brochures, calendars, posters; • Multi-media presentations (videos, CDs, etc.). Excludes: <ul style="list-style-type: none"> • Publication masters covered by DAN GS50-06F-04; • Form masters covered by DAN GS2010-012; • Accountable forms (unused, pre-numbered checks, receipts, meal tickets, licenses, etc.) covered by DAN GS2010-011. 	Retain until no longer needed for agency business <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-02-03 Rev. 0	General Information – External Information received from other agencies, commercial firms, or private institutions, which requires no action and is no longer needed for agency business purposes. Includes, but is not limited to: <ul style="list-style-type: none"> • Catalogs, reports, multi-media presentations (videos, CDs, etc.); • Informational copies, notices, bulletins, newsletters, announcements; • Unsolicited information (junk mail, spam, advertisements, etc.). 	Retain until no longer needed for agency business <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-02-04 Rev. 1	<p><i>Secondary (Duplicate) Copies</i> Copies of records (created or received), provided that the agency retains the primary record in accordance with the current approved minimum retention period.</p> <p><i>Includes, but is not limited to, data extracts and printouts from agency electronic information systems, provided that the:</i></p> <ul style="list-style-type: none"> Records within the database are retained for their minimum retention period; and, Data extracts/printouts are <u>NOT</u> required to substantiate "point-in-time" evidence of business transactions. 	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS50-02-05 Rev. 0	<p><i>Transitory Records</i> Public records that only document information of temporary, short-term value, <i>and provided that the records are:</i></p> <ul style="list-style-type: none"> Not needed as evidence of a business transaction; <i>and</i>, Not covered by a more specific records series. <p><i>Includes, but is not limited to:</i></p> <ul style="list-style-type: none"> Miscellaneous notices or memoranda which do not relate to the functional responsibility of the agency (notices of community affairs, holidays, etc.); Preliminary drafts of letters, memoranda, reports, work sheets, spreadsheets, presentations, and informal notes, etc., which do not represent significant basic steps in the preparation of record document(s); Routing slips used to direct the distribution of documents; Shorthand notes, stenotype tapes, and mechanical records, after they have been transcribed into typewritten or printed form on paper or microfilm; Telephone messages (including voicemail, digital voice messages, etc.); Letters of transmittal which do not add any information to the transmitted materials. 	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM



GLOSSARY

Appraisal

The process of determining the value and disposition of records based on their current administrative, legal, and fiscal use; their evidential and informational or research value; and their relationship to other records.

Archival – See ***Archival (Appraisal Required)*** and ***Archival (Permanent Retention)***.

Archival (Appraisal Required)

Public records which may possess enduring legal and/or historic value and must be appraised by the Washington State Archives on an individual basis.

Public records will be evaluated, sampled, and weeded according to archival principles by archivists from Washington State Archives (WSA). Records not selected for retention by WSA may be disposed of after appraisal.

Archival (Permanent Retention)

Public records which possess enduring legal and/or historic value and must not be destroyed. Local government agencies must either transfer these records to Washington State Archives or retain and preserve these records according to archival best practices until such time as they are transferred to Washington State Archives (WSA).

WSA will not sample, weed, or otherwise dispose of records fitting the records series description designated as “Archival (Permanent Retention)” other than the removal of duplicates. Master indexes, lists, registers, tracking systems, databases and other finding aids for public records designated as Archival should be retained with the records and transferred to Washington State Archives.

Disposition

Actions taken with records when they are no longer required to be retained by the agency.

Possible disposition actions include transfer to Washington State Archives and destruction.

Disposition Authority Number (DAN)

Control numbers systematically assigned to records series or records retention schedules when they are approved by the Local Records Committee.



Essential Records

Public records that local government agencies must have in order to maintain or resume business continuity following a disaster. While the retention requirements for essential records may range from very short-term to archival, these records are necessary for an agency to resume its core functions following a disaster.

Security backups of these public records should be created and may be deposited with Washington State Archives in accordance with [chapter 40.10 RCW](#). Copies of master indexes, lists, registers, tracking systems, databases and other finding aids should also be transferred with the records.

Local Records Committee

The committee established by [RCW 40.14.070](#) to review and approve disposition of local government records.

Its three members include the State Archivist and one representative each from the Offices of the Attorney General and the State Auditor.

Migration

The periodic transfer of data from one electronic system to another in order to ensure continued integrity and accessibility of data despite changes over time in hardware, software, and storage media.

Non-Archival

Public records which do not possess sufficient historic value to be designated as "Archival". Agencies must retain these records for the minimum retention period specified by the appropriate, current records retention schedule.

Agencies should destroy these records after their minimum retention period expires, provided that the records are not required for litigation, public records requests, or other purposes required by law.

Non-Essential Records

Public records which are not required in order for an agency to resume its core functions following a disaster, as described in [chapter 40.10 RCW](#).

Obsolete

Public records which are no longer relevant to current program or primary functional responsibilities of a department or office.

Office of Record

The group, department, or office within an agency responsible for maintaining a primary record from creation (or receipt) through disposition.



OFM (Office Files and Memoranda)

Public records which have been designated as “Office Files and Memoranda” for the purposes of [RCW 40.14.010](#).

RCW 40.14.010 – Definition and classification of public records.

(2) “Office files and memoranda include such records as correspondence, exhibits, drawings, maps, completed forms, or documents not above defined and classified as official public records; duplicate copies of official public records filed with any agency of the state of Washington; documents and reports made for the internal administration of the office to which they pertain but not required by law to be filed or kept with such agency; and other documents or records as determined by the records committee to be office files and memoranda.”

OPR (Official Public Records)

Public records which have been designated as “Official Public Records” for the purposes of [RCW 40.14.010](#).

RCW 40.14.010 – Definition and classification of public records.

(1) “Official public records shall include all original vouchers, receipts, and other documents necessary to isolate and prove the validity of every transaction relating to the receipt, use, and disposition of all public property and public income from all sources whatsoever; all agreements and contracts to which the state of Washington or any agency thereof may be a party; all fidelity, surety, and performance bonds; all claims filed against the state of Washington or any agency thereof; all records or documents required by law to be filed with or kept by any agency of the state of Washington; ... and all other documents or records determined by the records committee... to be official public records.”

Permanent – See **Archival (Permanent Retention)** and **Non-Archival**.

Potentially Archival or **Potential Archival Value** – See **Archival (Appraisal Required)**.

Primary Records

The original record (whether created or received by the agency) which serves as the official record, and must be retained in accordance with a current approved records retention schedule.

Public Records

[RCW 40.14.010](#) – Definition and classification of public records.

“... The term “public records” shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business...”



Records Series

A group of records, performing a specific function, which is used as a unit, filed as a unit, and may be transferred or destroyed as a unit. A records series may consist of a single type of form or a number of different types of documents that are filed together to document a specific function.

Secondary Records

Copies (or duplicates) of the agency's primary records used for specific legal, fiscal, or administrative purposes.

Secondary records exist for convenience of reference, or for informational purposes, and may be discarded when no longer needed for agency business in accordance with GS50-02-04.

Security Microfilm

Silver duplicate or first-generation microfilm which is stored at Washington State Archives under strictly-controlled environmental conditions and serves as an emergency/disaster back-up, in accordance with [chapter 40.10 RCW](#).

Washington State Archives provides security microfilm storage and inspection services to local government agencies.



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For assistance and advice in applying this records retention schedule,
please contact Washington State Archives at:
recordsmanagement@sos.wa.gov
or contact your Regional Archivist.



REVISION GUIDE

SUMMARY OF CHANGES

- CORE was reduced by 36 pages while providing clear and specific disposition authority for 28 new records series. In addition, 77 records series have been discontinued, and 35 revised. (All changes are listed in the tables, below.)
- 31 existing records series relating to financial transactions have been consolidated into two series:
 - **Financial Transactions – General**
 - **Financial Transactions – Bond, Grant and Levy Projects**
- 19 existing records series relating to meetings and hearings have been consolidated into two existing and four new series:
 - **Appeals Hearings – Local Decision-Making Bodies (General)**
 - **Appeals Hearings – Local Decision-Making Bodies (Land Use/Valuation)**
 - **Meetings – Governing/Executive/Advisory**
 - **Meetings – Inter-Agency**
 - **Meetings – Staff**
 - **Meetings – Arrangements**
- 6 existing records series relating to banking have been consolidated into one existing series, **Banking – Accounts and Transactions**, and one new series: **Banking – Deposited Items** (for negotiable instruments that are deposited in a different format).
- A new column has been added, and four columns have been removed, as follows:
 - New “Designation” column, which specifies the archival, essential, and OPR/OFM designations for each records series.
 - “Item numbers” removed. Each series should be referred to by its disposition authority number (DAN).
 - “OPR or OFM” removed. This information is incorporated into the new “Designation” column.
 - “Secondary (All Other) Record Copies” removed. Duplicate copies are covered by GS50-02-04, *Secondary (Duplicate) Copies*.
 - “Remarks” removed. (Some remarks were added to the descriptions as “Notes”.)
- The following adjustments were made, but are NOT considered “revisions” (and are not itemized in the Revision table, below):
 - Some series were moved to more accurate functions and/or activities;
 - Retention language “Destroy when obsolete or superseded – Potential archival value” was replaced with “Retain until no longer need for agency business then Transfer to WSA for appraisal and selective retention”. (All series will eventually have consistent language.)
 - Some remarks were added to descriptions as “notes”;
 - Statute citations have been hyperlinked.



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Note: The following abbreviations are used throughout this guide:

WSA = Washington State Archives

SAO = Office of the State Auditor

CORE = Local Government Common Records Retention Schedule

DWOS = Destroy when obsolete or superseded.

Note: The temporary disposition authority “numbers” (e.g., GS-LAND) will be replaced with official assigned numbers (e.g., GS2011-299) for the December 15, 2011 Local Records Committee meeting.



FINANCIAL TRANSACTIONS

31 Disposition authority numbers (DANs) covering financial transactions records have been discontinued.

The records are now covered by one of these two new series:

Financial Transactions – Bond, Grant And Levy Projects **(GS-FT-BTL, page 66)**

Records documenting all resources received and expended by the agency for bond-, levy-, and/or grant-funded projects.

RETENTION AND DISPOSITION:

Retain for 6 years after final bond payment or 6 years after completion of levy/grant project or terms of grant agreement, whichever is later then **Destroy**.

Financial Transactions – General **(GS-FT-GEN, page 67)**

Records documenting all resources received and expended by the agency ***provided that receipts and expenditures are not for bond, grant or levy projects.***

RETENTION AND DISPOSITION:

Retain for 6 years after end of calendar year then **Destroy**.

Discontinued DAN	Version 2.1 – Discontinued Title	Version 2.1 – Retention
GS50-03A-02 p. 76	<i>Accounts Payable & Receivable Supporting Documents & Reports</i>	3 years
GS50-03A-04 p. 77	<i>Bills of Sale</i>	6 years
GS50-03A-07 p. 77	<i>Cash Receipts Transmittals</i>	6 years
GS50-03A-08 p. 77	<i>Cash Receipts Transmittals – Internal</i>	6 years
GS0-08A-04 p. 78	<i>Credit/Debit Purchase Charge Receipts – Purchaser’s Copy</i>	3 years
GS50-03A-09 p. 79	<i>Daily Cash Report or Summary</i>	6 years
GS50-03A-11 p. 79	<i>Expenditure Transaction Reports</i>	6 years
GS50-03D-09 p. 79	<i>Financial Statements</i>	6 years
GS50-01-17 p. 79	<i>Fiscal, Purchase and Receiving Documents</i>	6 years
GS50-03A-13 p. 80	<i>Fund Accounts Supporting Documents and Reports</i>	3 years
GS50-03A-14 p. 80	<i>General and Subsidiary Journals</i>	6 years
GS50-03A-20 p. 81	<i>Petty Cash Record</i>	6 years
GS50-08A-08 p. 82	<i>Purchase/Field Orders</i>	6 years
GS50-03A-21 p. 82	<i>Receipts</i>	6 years
GS50-03A-34 p. 82	<i>Receipts for Cash Received – Office Reference Copies</i>	Finance office keeps primary copy 6 years/Office references keep 3 years. (Use GS50-02-04)
GS50-03A-23 p. 82	<i>Register for Funds Remitted to Fiscal Officer</i>	6 years



FINANCIAL TRANSACTIONS

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Financial Transactions – Bond, Grant And Levy Projects **(GS-FT-BTL, page 66)**

Records documenting all resources received and expended by the agency for bond-, levy-, and/or grant-funded projects.

RETENTION AND DISPOSITION:

Retain for 6 years after final bond payment or 6 years after completion of levy/grant project or terms of grant agreement, whichever is later then **Destroy**.

Financial Transactions – General **(GS-FT-GEN, page 67)**

Records documenting all resources received and expended by the agency ***provided that receipts and expenditures are not for bond, grant or levy projects.***

RETENTION AND DISPOSITION:

Retain for 6 years after end of calendar year then **Destroy**.

Discontinued DAN	Version 2.1 – Discontinued Title	Version 2.1 – Retention
GS50-03A-24 p. 82	<i>Remittance Advices</i>	6 years
GS50-03A-05 p. 82	<i>Revenue Bond and Coupon Register</i>	6 years
GS50-03A-25 p. 83	<i>Revenue Bonds and Coupons</i>	6 years after redemption
GS50-03A-27 p. 84	<i>Treasurer/Finance Officer Financial Reports</i>	6 years
GS50-03A-29 p. 86	<i>Voucher Register</i>	6 years
GS50-03A-30 p. 86	<i>Vouchers</i>	6 years
GS50-03A-31 p. 86	<i>Warrant/Check Registers</i>	6 years
GS50-03A-06 p. 90	<i>Cash Accounts Supporting Documents and Reports</i>	3 years
GS50-03B-05 p. 91	<i>Cash Book</i>	6 years
GS50-03C-03 p. 95	<i>Financial Support Documents – Continuing Grants</i>	3 years or retain for period required by grant or program
GS50-03C-04 p. 95	<i>Financial Support Documents – Non-Continuing Grants</i>	3 years from the date of submission of the final expenditure report or retain for period required by grant or program
GS50-03C-05 p. 96	<i>Grant Agreement</i>	
GS50-03C-06 p. 96	<i>Grant Application – Approved</i>	
GS50-03C-08 p. 97	<i>Grant Project Warrants, Checks and Vouchers</i>	6 years or until satisfaction of grant audit requirements, whichever is longer
GS50-03C-11 p. 98	<i>Warrant, Check or Voucher Registers - Grant Funds</i>	6 years or until satisfaction of grant audit requirements, whichever is longer



MEETINGS AND HEARINGS

19 Disposition authority numbers (DANs) covering records relating to meetings and hearings have been consolidated into six series.
The records are now covered by one of the following:

Version 2.2 Title	Version 2.2 DAN	Retention and Disposition
Appeals Hearings – Local Decision-Making Bodies (General)	GS-HEARING (p.21)	Retain for 6 years after final disposition of case then transfer to WSA for appraisal and selective retention.
Appeals Hearings – Local Decision-Making Bodies (Land Use/Valuation)	GS-LAND (p.22)	Retain for 6 years after final disposition of case then transfer to WSA for permanent retention.
Meetings – Governing/Executive/Advisory	GS50-05A-13 (p.23) Formerly : <i>Minutes of Official Proceedings Approved and Signed</i>	Retain for 6 years after end of calendar year then transfer to WSA for permanent retention.
Meetings – Inter-Agency	GS-INTER-A (p.24)	Retain for 6 years after end of calendar year or 6 years after completion of project, whichever is later, then transfer to WSA for appraisal and selective retention.
Meetings – Staff	GS50-01-43 (p.24) Formerly : <i>Minutes and Files of General Office Meetings</i>	Retain for 2 years after end of calendar year then destroy.
Meetings/Hearings – Arrangements	GS-ARRANGE (p.25)	Retain until no longer needed for agency business <i>then</i> destroy.

Discontinued DAN	Version 2.1 – Discontinued Title	Version 2.1 – Retention
GS50-05A-20 p. 9	Affidavit of Mailing, Posting and Publication of Public Notices	6 years
GS50-05B-02 p. 9	Agenda Packets – Advisory Councils, Commissions, Committees and Boards	3 years Potential Archival Value
GS50-05A-02 p. 9	Agenda Requests	3 years
GS50-05A-03 p. 9	Agendas/Briefs/Packets (Council, Commission or Board Member)	3 years Potential Archival Value
GS50-05A-05 p. 10	Appointments of Council Members, Commissioners, Board Members, Department Heads or other Agency Officials	PERMANENT (in council, commission or board minutes)
GS50-05A-06 p. 10	Audio/Video Recordings of Official Proceedings	6 years or 1 year if transcribed & transcription is approved.
GS50-05B-05 p. 10	Audio/Video Tape Recordings of Meetings Advisory Councils, Commissions, Committees, & Boards	Keep until approval of written minutes
GS50-01-53 p. 11	Correspondence – Advisory Councils, Commissions, Committees and Boards (If correspondence is <u>not</u> included in the agenda packet, use GS50-01-12.)	2 years Potential archival value



MEETINGS AND HEARINGS

19 Disposition authority numbers (DANs) covering records relating to meetings and hearings have been consolidated into six series.
The records are now covered by one of the following:

Version 2.2 Title	Version 2.2 DAN	Retention and Disposition
Appeals Hearings – Local Decision-Making Bodies (General)	GS-HEARING (p.21)	Retain for 6 years after final disposition of case then transfer to WSA for appraisal and selective retention.
Appeals Hearings – Local Decision-Making Bodies (Land Use/Valuation)	GS-LAND (p.22)	Retain for 6 years after final disposition of case then transfer to WSA for permanent retention.
Meetings – Governing/Executive/Advisory	GS50-05A-13 (p.23) Formerly : <i>Minutes of Official Proceedings Approved and Signed</i>	Retain for 6 years after end of calendar year then transfer to WSA for permanent retention.
Meetings – Inter-Agency	GS-INTER-A (p.24)	Retain for 6 years after end of calendar year or 6 years after completion of project, whichever is later, then transfer to WSA for appraisal and selective retention.
Meetings – Staff	GS50-01-43 (p.24) Formerly : <i>Minutes and Files of General Office Meetings</i>	Retain for 2 years after end of calendar year then destroy.
Meetings/Hearings – Arrangements	GS-ARRANGE (p.25)	Retain until no longer needed for agency business <i>then</i> destroy.

Discontinued DAN	Version 2.1 – Discontinued Title	Version 2.1 – Retention
GS50-05A-12 p. 11	Indexes to Minutes, Ordinances and Resolutions	PERMANENT Potential Archival Value
GS50-05B-04 p. 12	Minutes – Advisory Councils, Commissions, Committees and Boards	6 years - Potential Archival Value
GS50-05A-17 p. 14	Petitions to the Council, Commission or Board (If petitions are <u>not</u> included in the agenda packet, use GS50-01-12.)	6 years
GS50-05A-18 p. 15	Records of Public Hearings	PERMANENT Potential Archival Value
GS50-05B-03 p. 15	Reports Submitted to Governing Council, Commission, Committee, Board or Executive by the Advisory Councils, Commissions, Committees and Boards	6 years - Potential Archival Value
GS50-05A-08 p. 16	Sub-Committee Minutes/Reports	6 years - Potential Archival Value
GS50-05A-21 p. 16	Transcriptions of Audio-Video Tapes of Official Proceedings	6 years - Potential Archival Value
GS55-05B-30 p. 78	Customer Billing Dispute Cases	Resolution plus 6 years
GS51-05D-09 p. 131	Safety Committee Minutes	1 year



NEW RECORDS SERIES

Function: Activity	Title and Description	NEW DAN	Minimum Retention and Disposition	Designations	Rationale
Agency Mgmt: Community Relations	<i>Advertising and Promotion</i>	GS-PROMO p. 10	Retain for 6 years after end of fiscal year then transfer to WSA for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR	To provide clear and specific disposition authority for these records.
Agency Mgmt: Community Relations	<i>Awards and Recognitions</i>	GS-AWARD p. 10	Retain until no longer needed for agency business then transfer to WSA for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR	To provide clear and specific disposition authority for these records.
Agency Mgmt: Community Relations	<i>Charity Fundraising</i>	GS-CHARITY p. 11	Retain for 6 years after end of fiscal year then destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR	To provide clear and specific disposition authority for these records.
Agency Mgmt: Community Relations	<i>Proclamations</i>	GS-PROC p. 12	Retain until no longer needed for agency business then transfer to WSA for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR	To provide clear and specific disposition authority for proclamations that are NOT included in the meeting packet of the agency's governing body.
Agency Mgmt: Contracts and Agreements	<i>Contracts and Agreements – Capital Assets (Non-Real Property)</i>	GS-CAP p. 14	Retain for 6 years after completion of transaction or termination/expiration of instrument and 6 years after disposition of asset (if asset owned by agency) <i>then</i> destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR	To provide disposition authority for contracts relating to capital assets and to ensure that they are retained for SAO audit purposes. Aligned with companion contracts and agreements records series (GS-REAL and GS50-01-11.)
Agency Mgmt: Contracts and Agreements	<i>Contracts and Agreements – Capital Assets (Real Property)</i>	GS-REAL p. 14	Retain for 10 years after disposition of asset and 10 years after completion of transaction or termination/ expiration of instrument then transfer to WSA for appraisal and selective retention.	ARCHIVAL (Appraisal Required) ESSENTIAL OPR	To provide disposition authority for contracts relating to <i>real property</i> capital assets and to ensure that they are retained for SAO audit purposes. 10-year cut-off provides for real property statute of limitations (RCW 4.16.020). Aligned with companion contracts and agreements records series (GS-CAP and GS50-01-11.)
Agency Mgmt: Legal Affairs	<i>Civil Rights – Compliance</i>	GS-CIVIL p. 17	Retain for 6 years after end of calendar year or conditions of grant satisfied, whichever is later, then destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR	To provide clear and specific disposition authority for these records.



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Function: Activity	Title and Description	NEW DAN	Minimum Retention and Disposition	Designations	Rationale
Agency Mgmt: Legal Affairs	<i>Court Orders – Served on the Agency</i>	GS-ORDERS p. 18	Retain until no longer needed for agency business <i>then</i> destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR	To provide clear and specific disposition authority for these records.
Agency Mgmt: Meetings and Hearings	<i>Appeals Hearings – Local Decision-Making Bodies (General)</i>	GS-HEARING p. 21	Retain for 6 years after final disposition of case then transfer to WSA for appraisal and selective retention.	ARCHIVAL (Appraisal Required) ESSENTIAL OPR	Records series created to cover adjudicative proceedings of the local government agency's decision-making bodies where NO land use or valuation decisions are being made. (GS50-16B-01 in LGRRS will be discontinued.)
Agency Mgmt: Meetings and Hearings	<i>Appeals Hearings – Local Decision-Making Bodies (Land Use/Valuation)</i>	GS-LAND p. 22	Retain for 6 years after final disposition of case then transfer to WSA for permanent retention.	ARCHIVAL (Permanent Retention) ESSENTIAL OPR	Records series created to cover adjudicative proceedings of the local government agency's decision-making bodies where land use or valuation decisions <u>are</u> being made. (GS50-16B-01 in LGRRS will be discontinued.)
Agency Mgmt: Meetings and Hearings	<i>Meetings – Inter-Agency</i>	GS-INTER-A p. 24	Retain for 6 years after end of calendar year or 6 years after completion of project, whichever is later, then transfer to WSA for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR	Records series created to cover records created when multi-agency meetings occur.
Agency Mgmt: Meetings and Hearings	<i>Meetings/Hearings – Arrangements</i>	GS-ARRANGE p. 25	Retain until no longer needed for agency business <i>then</i> destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM	To provide clear and specific disposition authority for these records.
Asset Mgmt: Risk Mgmt.	<i>Accidents/Incidents (Hazardous Materials) – Human Exposure</i>	GS-A/I-HAZ p. 30	Retain for 100 years after individual's date of birth or 30 years after individual's date of death, whichever is sooner then destroy.	NON-ARCHIVAL ESSENTIAL OPR	This series provides a lifetime minimum retention for records documenting accidents/incidents involving human exposure to hazardous materials, since there is no limitation of action on an agency's liability.
Agency Mgmt: Training	<i>Agency-Provided Training – Arrangements</i>	GS-REGISTER p. 34	Retain until no longer needed for agency business then destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM	To provide clear and specific disposition authority for these records.



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Function: Activity	Title and Description	NEW DAN	Minimum Retention and Disposition	Designations	Rationale
Agency Mgmt: Training	Agency-Provided Training – Curriculum Development	GS-COURSE p. 34	Retain until curriculum no longer provided by agency then destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM	To provide clear and specific disposition authority for these records.
Agency Mgmt: Training	Agency-Provided Training – Certificated or Hours/Credits Earned, or Mandatory	GS-CERT p. 35	Retain for 6 years after training provided then destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR	To provide clear and specific disposition authority for records documenting training provided by the agency where a certificates, credentials, credits, points or hours are earned/awarded, or where required by statute or employer.
Agency Mgmt: Training	Agency-Provided Training – General	GS-TRAIN p. 36	Retain for 3 years after training provided then destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR	To provide clear and specific disposition authority for records documenting training provided by the agency where no certificates, credits, points or hours are earned/awarded, and training is not mandatory.
Financial Mgmt: Accounting	Capital Asset Record	GS-ASSET p. 64	Retain for 4 years after disposition of asset or disposition of asset and completion of State Auditor's Examination Report, <i>whichever is sooner then</i> destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR	To provide clear and specific disposition authority for these records.
Financial Mgmt: Accounting	Financial Transactions – Bond, Grant and Levy Projects	GS-FT-BGL p. 66	Retain for 6 years after final bond payment or 6 years after completion of levy/grant project or terms of grant agreement, whichever is later then Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR	To simplify and streamline retention of all records relating to bond-, levy- and grant-related financial transactions. (See Financial Transactions table, above, for a list of records series that are covered by this new series.)
Financial Mgmt: Accounting	Financial Transactions – General	GS-FT-GEN p. 67	Retain for 6 years after end of fiscal year then destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR	To simplify and streamline retention of all records relating to general (non-grant, -bond, -levy) financial transactions. (See Financial Transactions table, above, for a list of records series that are covered by this new series.)



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Function: Activity	Title and Description	NEW DAN	Minimum Retention and Disposition	Designations	Rationale
Financial Mgmt: Banking	Banking – Accounts and Transactions	GS-BANK p. 72	Retain for 6 years after end of fiscal year then destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR	To simplify and streamline retention of all records relating to banking transactions. Now covers GS50-03B-13, GS50-03B-01, GS50-03B-02, GS50-03B-03, GS50-03B-04 and GS50-03A-19,
Financial Mgmt: Banking	Banking – Deposited Items	GS-DEPO p. 72	Retain until deposit verified by bank then destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR	To clarify and clearly specify retention requirements for negotiable instruments that are deposited in a different format.
Financial Mgmt: Planning	Internal Service Fund – Rate Setting	GS-RATES p. 78	Retain for 4 years after rates superseded then destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR	To provide clear and specific disposition authority for these records.
Financial Mgmt: Planning	Levy and Bond Planning – Unsuccessful	GS-FAIL p. 79	Retain for 6 years after levy failure or decision to not proceed then destroy	NON-ARCHIVAL NON-ESSENTIAL OPR	To provide clear and specific disposition authority for these records.
Financial Mgmt: Reporting	Reporting – Financial Management	GS-SAO p. 85	Retain for 4 years after submitted to regulatory agency then destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR	To provide clear and specific disposition authority for reports submitted to regulatory agencies, including the “Loss of public funds/assets” report to the SAO.
Human Resource Mgmt: Authorization/ Certification	Authorizations Received From Regulatory Agencies – Human Resources (General)	GS-AUTH-HR p. 87	Retain for 6 years after authorization superseded or terminated then destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR	To provide clear and specific disposition authority for these records.
Human Resource Mgmt: Authorization/ Certification	Authorizations Received From Regulatory Agencies – Human Resources (Health Care Providers Licensed by Washington State)	GS-HEALTH p. 87	Retain for 8 years after authorization superseded or terminated then destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR	To provide clear and specific disposition authority for these records. RCW 4.16.350 provides an 8-year statute of limitations for actions for injuries resulting from health care or related services.



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Function: Activity	Title and Description	NEW DAN	Minimum Retention and Disposition	Designations	Rationale
Human Resource Mgmt: Occupational Health and Safety	<i>Employee Medical Records – Employed Less Than One Year</i>	GS-1-YEAR p. 100	Retain until termination of employment <i>then</i> provide to employee upon departure.	NON-ARCHIVAL NON-ESSENTIAL OPR	To provide clear and specific disposition authority for these records in accordance with WAC 296-802- 20005: <ul style="list-style-type: none"> • <i>Keep medical records for at least as long as the employee works for you plus thirty years.</i> <i>Exemption: • If an employee works for you for less than one year and you provide the records to them when they leave employment, you do not have to keep their medical records.</i>



REVISED RECORDS SERIES

The records series listed below have been revised; changes and rationale are provided. (List is in CORE 2.1 page order.)

Version 2.1 DAN	Version 2.1 Title	Version 2.1 Retention	Version 2.2 Title (If different)	Version 2.2 Retention (If Different)	Change and/or rationale
GS50-01-12 Ver. 2.1 p. 6 Ver. 2.2 p. 6	Communications – Executive	Retain for 2 years after communication received or provided, whichever is later <i>then</i> Arrange for appraisal by WSA.	Communications – Governing/ Executive/Advisory	Retain for 2 years after communication received or provided, whichever is later <i>then</i> transfer to WSA for appraisal and selective retention.	Series clarified to specify members of governing and advisory bodies, as well as executive/ management. Retention language updated.
GS2010-001 Ver. 2.1 p. 7 Ver. 2.2 p. 7	Communications – Non-Executive	Retain for 2 years after communication received or provided, whichever is later then destroy.	No change.	No change.	Clarified exclusion to include <i>governing and advisory communications</i> covered by GS50-01-12.
GS50-01-43 Ver. 2.1 p. 8 Ver. 2.2 p. 24	Minutes and Files of General Office Meetings	Date of document plus 2 years	Meetings - Staff	Retain for 2 years after end of calendar year then destroy.	Description enhanced. Aligned with companion meetings and hearings records series (GS50-05A-13, GS-INTER-A, GS50-01-43, GS-ARRANGE, GS-LAND and GS-HEARING). Please see "Meetings and Hearings" table, above.
GS50-05A-13 Ver. 2.1 p. 12 Ver. 2.2 p. 23	Minutes of Official Proceedings – Approved and Signed	PERMANENT – Potential Archival Value	Meetings – Governing/ Executive/Advisory	Retain for 6 years after end of calendar year <i>then</i> transfer to WSA for permanent retention.	Multiple records series combined to create one covering all aspects of governing/ executive/advisory meetings. Aligned with companion meetings and hearings records series (GS-INTER-A, GS50-01-43, GS-ARRANGE, GS-LAND and GS-HEARING). Please see "Meetings and Hearings" table, above.
GS50-01-11 Ver. 2.1 p. 20 Ver. 2.2 p. 15	Contracts and Agreements	Retain for 6 years after termination or expiration of instrument then destroy.	Contracts and Agreements - General	Retain for 6 years after completion of transaction or termination/expiration of instrument <i>then</i> destroy.	Description enhanced to provide additional guidance. Aligned with companion contracts and agreements records series (GS-REAL and GS-CAP.)
GS50-08A-01 Ver. 2.1 p. 20 Ver. 2.2 p. 80	Bid and Proposal Files (Successful Bids and Proposals Only)	6 years after completion of purchase or fulfillment of contract	Bids and Proposals – Successful	Retain for 6 years after completion of purchase or fulfillment of contract then destroy.	Improved title and enhanced description.



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The records series listed below have been revised; changes and rationale are provided. (List is in CORE 2.1 page order.)

Version 2.1 DAN	Version 2.1 Title	Version 2.1 Retention	Version 2.2 Title (If different)	Version 2.2 Retention (If Different)	Change and/or rationale
GS50-08A-11 Ver. 2.1 p. 21 Ver. 2.2 p. 80	Unsuccessful Bids and Proposals	3 years	Bids and Proposals – Unsuccessful	Retain for 4 years after end of fiscal year then destroy.	Improved title and provided broader description. Increased minimum retention to 4 years to ensure that records are retained for SAO audit purposes.
GS53-02-06 Ver. 2.1 p. 22 Ver. 2.2 p. 78	Bond Project Files Legal Counsel	6 years after redemption of project or building bonds	Levy and Bond Planning – Successful	Retain for 6 years after final bond payment or completion of levy project then transfer to WSA for appraisal and selective retention.	Title changed; scope increased to include all successful levy and bond planning project files. (Records for projects where levies fail or projects do not proceed are covered by new series GS-FAIL.) (Moved to Financial Management/Planning.)
			Levy and Bond Planning – Unsuccessful (GS-FAIL)	Retain for 6 years after levy failure or decision to not proceed then destroy.	New series to cover records relating to bond and levy projects proposals that fail or with which the agency decides not proceeded.
GS53-02-03 Ver. 2.1 p. 22 Ver. 2.2 p. 20	Legal Opinions	PERMANENT – Potential archival value	Legal Opinions (Agency Attorney)	No change.	Title modified. Added exclusion for legal opinions regarding levy and bond planning, which are covered by GS53-02-06.
GS50-14-03 Ver. 2.1 p. 27 Ver. 2.2 p. 26	Disaster Preparedness and Recovery Plans	Destroy when obsolete or superseded plus 6 years - Potential archival value - See remarks	Emergency Preparedness and Recovery Plans	Retain for 6 years after obsolete or superseded then destroy.	Description provided to include all of the agency's emergency preparedness, response, and recovery plans. (Moved to Planning, Mission, and Charter.)
GS50-06C-35 Ver. 2.1 p. 29 Ver. 2.2 p. 33	Travel Permission (Under Age 18)	Retain for 3 years after individual reaches age 18 then destroy.	Permission for Minors to Participate	No change.	Description broadened to include all agency-sponsored and agency-approved activities. Excludes public school- sponsored events and activities for PreK-12 students covered by DAN SD51-06C-32 in the <i>School Districts and Educational Service Districts Records Retention Schedule</i> .



REVISED RECORDS SERIES

The records series listed below have been revised; changes and rationale are provided. (List is in CORE 2.1 page order.)

Version 2.1 DAN	Version 2.1 Title	Version 2.1 Retention	Version 2.2 Title (If different)	Version 2.2 Retention (If Different)	Change and/or rationale
GS50-06A-02 Ver. 2.1 p. 39 Ver. 2.2 p. 32	Backups for Disaster Preparedness/ Recovery	Retain until no longer needed for agency business <i>then</i> destroy.	Information Technology Backups for Disaster Preparedness/ Recovery	No change.	"Information Technology" added to title for clarification. (Moved to Risk Management/Insurance.)
GS50-06B-24 Ver. 2.1 p. 44 Ver. 2.2 p. 46	Environmental Site Assessment	OPR (for parcels of property owned by the agency): Until assessment superseded or sale of property plus 10 years - Potential archival value. OFM (for parcels not acquired by the agency): Destroy when obsolete or superseded - Potential archival value.	No change.	Retain until obsolete or superseded or 10 years after property no longer owned by agency, <i>whichever is later then</i> transfer to WSA for appraisal and selective retention.	Cut-off clarified and consolidated.
GS50-06C-03 Ver. 2.1 p. 45 Ver. 2.2 p. 31	Accidents/Incidents – No Claim Filed (Under Age 18)	Retain for 3 years after individual reaches age 18 <i>then</i> destroy.	No change.	No change.	Exclusion added for records relating to accidents and incidents involving human exposure to hazardous materials, GS-A/I-HAZ.
GS2010-081 Ver. 2.1 p. 45 Ver. 2.2 p. 31	Accidents/Incidents – No Claim Filed (Age 18 and Older)	Retain for 3 years after date of incident <i>then</i> destroy.	No change.	No change.	Exclusion added for records relating to accidents and incidents involving human exposure to hazardous materials, GS-A/I-HAZ.
GS50-19-03 Ver. 2.1 p. 45 Ver. 2.2 p. 47	Hazardous Materials Accident/Incident Report	50 years	Hazardous Materials Accident/Incident Report (No Human Exposure)	No change.	Title changed and exclusion added. Does NOT include accidents/incidents where there is human exposure to hazardous materials (which are covered by GS-A/I-HAZ, <i>Accidents/Incidents (Hazardous Materials) – Human Exposure.</i>



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The records series listed below have been revised; changes and rationale are provided. (List is in CORE 2.1 page order.)

Version 2.1 DAN	Version 2.1 Title	Version 2.1 Retention	Version 2.2 Title (If different)	Version 2.2 Retention (If Different)	Change and/or rationale
GS55-05A-09 Ver. 2.1 p. 59 Ver. 2.2 p. 19	Eviction Records	6 years after judgment or final decision	Evictions, Liens, Foreclosures, Condemnations	Retain for 10 years after matter resolved then destroy.	Description enhanced to include all land disputes <i>except</i> for encroachments, which are covered by GS55-05A-09 (and are Archival and Essential). 10-year cut-off provides for real property statute of limitations (<u>RCW 4.16.020</u>). (Moved to Legal Affairs.)
GS55-05A-04 Ver. 2.1 p. 68 Ver. 2.2 p. 18	Encroachments	Closure of dispute plus 10 years – Potential Archival Value	Encroachments	Retain for 10 years after matter resolved then transfer to WSA for appraisal and selective retention.	Aligned with companion land dispute records series (GS55-05A-09.) (Moved to Legal Affairs.)
GS50-03D-02 Ver. 2.1 p. 76 Ver. 2.2 p. 82	Annual Financial Report of Chief Fiscal Officer to Commissioners/ Council	Clerk of governing council, commission or board – PERMANENT. 1 copy archival.	No change.	Retain until obsolete or superseded then transfer to WSA for appraisal and selective retention.	Retention clarified. Provides archival record, if not already included in agenda packet of governing body. (Moved to Financial Management/Reporting.)
GS50-03B-14 Ver. 2.1 p. 78 Ver. 2.2 p. 65	Collection Files	Account closed plus 6 years	Financial Disputes and Collections - General	Retain for 6 years after matter resolved then destroy.	Scope broadened to include all disputes that do NOT relate to real property ownership. Cut-off language changed to accommodate all types of disputes – as well as SAO audit needs.
GS50-03A-15 Ver. 2.1 p. 81 Ver. 2.2 p. 68	General Ledger	6 years. Pre-1900 general ledgers have potential archival value - See remarks	General and Subsidiary Ledgers	Retain for 6 years after end of fiscal year or 6 years after final bond payment <i>or</i> 6 years after completion of levy/grant project <i>or</i> terms of grant agreement, <i>whichever is later then</i> Destroy.	General and subsidiary ledgers are NOT included in the Financial Transactions series because ledgers are designated as <u>ESSENTIAL</u> and should be back up. Changed cut-off language to provide longer retention for ledgers documenting bond, levy and grant projects. Retention and disposition language clarified. Note added requesting transfer of ledgers from 1800's to WSA.



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The records series listed below have been revised; changes and rationale are provided. (List is in CORE 2.1 page order.)

Version 2.1 DAN	Version 2.1 Title	Version 2.1 Retention	Version 2.2 Title (If different)	Version 2.2 Retention (If Different)	Change and/or rationale
GS50-03A-26 Ver. 2.1 p. 88 Ver. 2.2 p. 70	State Auditor's Examination Report	State Auditor's office – PERMANENT.	No change.	Retain until no longer needed for agency business then destroy.	Defined minimum retention for agency's primary record. Added note in description stating that SAO retains this record permanently.
GS50-03C-01 Ver. 2.1 p. 94 Ver. 2.2 p. 84	Annual Financial Status Reports – Grants	3 years or retain for period required by grant or program - See remarks	Continuing Grants – Annual Financial Status Reports	Retain for 4 years after submission of report or for period required by grant/program, <i>whichever is later then</i> destroy.	Increased minimum retention to 4 years to ensure that reports are retained for SAO audit purposes. Description and title clarify that this series covers <i>continuing</i> grants only. (Moved to Financial Management/Reporting.)
GS50-03C-02 Ver. 2.1 p. 94 Ver. 2.2 p. 82	Final Grant Expenditure Report	3 years from the date of submission of final report or retain for period required by grant or program Potential archival value - See remarks	Bond, Grant and Levy Project Reports	Retain for 4 years after submission of final report or for period required by grant/program, <i>whichever is later then</i> transfer to WSA for appraisal and selective retention.	Title changed; scope increased to include all bond, levy and non-continuing grant project reports. Increased minimum retention to 4 years to ensure that reports are retained for SAO audit purposes. (Moved to Financial Management/Reporting.)
GS50-04C-01 Ver. 2.1 p. 114 Ver. 2.2 p. 17	ADA (Americans With Disabilities Act) Rehabilitation Act of 1973 Section 504 Claim & Accommodation Files	Completion of accommodation plus 6 years	Civil Rights – Compliance (Section 504 Accommodations)	Retain for 6 years after completion or denial of accommodation(s) <i>then</i> destroy.	Description enhanced and now covers accommodations that are not completed. Aligned with companion civil rights records series (GS50-04C-04 and GS-CIVIL.) (Moved to Legal Affairs.)
GS50-04C-04 Ver. 2.1 p. 115 Ver. 2.2 p. 16	Equal Employment Opportunity Complaints and Conciliations	Resolution plus 6 years –Potential Archival Value	Civil Rights Violation Complaints	Retain for 6 years after resolution, completion, closure, or decision not to proceed then transfer to WSA for appraisal and selective retention.	Series expanded to include civil rights violation complaints of any type. (Moved to Legal Affairs.)



Washington State Archives
Office of the Secretary of State

Local Government Common Records Retention Schedule (CORE)
Version 2.2 Revision Guide (December 2011)

REVISED RECORDS SERIES

The records series listed below have been revised; changes and rationale are provided. (List is in CORE 2.1 page order.)

Version 2.1 DAN	Version 2.1 Title	Version 2.1 Retention	Version 2.2 Title (If different)	Version 2.2 Retention (If Different)	Change and/or rationale
GS50-04C-05 Ver. 2.1 p. 115 Ver. 2.2 p. 109	Equal Employment Opportunity Reports	3 years	Reporting – Human Resources	Retain for 4 years after submitted to regulatory agency then destroy.	Records series enhanced to include all reports mandated by regulatory agencies and relating to human resource functions. Increased minimum retention to 4 years to ensure that reports are retained for SAO audit purposes.
GS50-04E-03 Ver. 2.1 p. 126 Ver. 2.2 p. 98	Grievances & Appeals – Personnel Employee Relations	Resolution plus 6 years	Employee Grievances	Retain for 6 years after matter resolved then destroy.	Simplified title and added exclusion to clarify that this series covers all of the agency's records relating to employee grievances <i>except for</i> appeals hearings records, which are covered by GS50-04E-03.
			Hearings – Local Decision-Making Bodies (GS-HEARING)	Retain for 6 years after final disposition of case then transfer to WSA for appraisal and selective retention.	GS-HEARING covers appeals grievance appeals hearings records of the local government agency's decision-making body.
GS50-04B-46 Ver. 2.1 p. 124 Ver. 2.2 p. 98	Employee Misconduct Investigation Files – Sustained	Case Closed plus 3 Years	No change.	Retain for 3 years after case closed then destroy.	Improved retention language and updated note: <i>Collective bargaining agreements and civil service rules & regulations may require a longer minimum retention period.</i>
GS50-04B-47 Ver. 2.1 p. 125 Ver. 2.2 p. 98	Employee Misconduct Investigation Files – Unfounded	Case Closed	No change.	Retain until case closed then destroy.	Improved retention language and updated note: <i>Collective bargaining agreements and civil service rules & regulations may require a longer minimum retention period.</i>
GS50-04B-30 Ver. 2.1 p. 128 Ver. 2.2 p. 100	Employee Medical and Exposure Records	Termination of employment plus 30 years	Employee Medical Records - General	Retain for 30 years after termination of employment then destroy.	Employee exposure to hazardous materials EXCLUDED from this series – now covered by GS-A/I-HAZ, <i>Accidents/Incidents (Hazardous Materials) – Human Exposure</i> (minimum retention 100 years from date of birth). Title changes; citations updated.



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GS50-04B-06 Ver. 2.1 p. 135 Ver. 2.2 p. 105	Personnel File	Retain for 6 years after termination then destroy.	No change.	Retain for 6 years after termination of employment then destroy.	Enhanced description to include summary report of employee misconduct investigations <i>when sustained</i> . Also added note: <i>Collective bargaining agreements and civil service rules & regulations may require a longer minimum retention period.</i>
GS50-05A-23 Ver. 2.1 p. 141 Ver. 2.2 p. 111	Continuing Professional Education Records	End of licensing or reporting period plus 4 years	No change.	No change.	Description revised to clarify that this series covers <i>individual employee</i> continuing education documentation.
GS2010-014 Ver. 2.1 p. 149 Ver. 2.2 p. 116	Public Disclosure/Records Requests	Retain for 1 year after public records request fulfilled then destroy.	No change.	Retain for 2 years after public records request fulfilled then destroy.	A one-year minimum retention is currently insufficient for agencies to be compliant with RCW 42.56.550(6). A two-year period – as addressed in the McKee v. DOC, 160 Wn. App. 437 (2011) case – citing RCW 4.16.100 (two year statute of limitations) is advised by the Office of the Attorney General. Reference: Tobin v. Worden, 156 Wn. App. 507 (2010).
GS50-02-04 Ver. 2.1 p. 158 Ver. 2.2 p. 124	Secondary (Duplicate) Copies	Retain until no longer needed for agency business then destroy.	No change.	No change.	Description enhanced to specify data extracts and printouts from agency electronic information systems – provided that the records within the database are retained for their minimum retention period AND the data extracts/printouts are NOT required to substantiate “point-in-time” evidence of business transactions.



Additional DISCONTINUED DISPOSITION AUTHORITY NUMBERS (DANs)

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Discontinued DAN	Ver. 2.1 Function: Activity	Version 2.1 Title	Version 2.1 Retention	Version 2.2 Function: Activity	Version 2.2 DAN:	Version 2.2 Title	Version 2.2 Retention and Disposition
GS50-06C-07 p. 28	Agency Mgmt: Risk Mgmt	Disaster/Emergency Management Plan	DWOS plus 6 years	Agency Mgmt. Planning, Mission & Charter	GS50-14-03 p. 26	Emergency Preparedness and Recovery Plans	Retain for 6 years after obsolete or superseded then destroy.
GS50-26-01 p. 43	Asset Mgmt: Enviro. Mgmt.	Certificate of Disposal and Destruction of Hazardous Waste	50 years	Asset Mgmt: Environmental Mgmt.	GS50-19-12 p. 47	Hazardous Materials Disposal Records and/or Certificate of Destruction	50 years. (ESSENTIAL)
GS50-19-04 p. 46		Hazardous Materials Certificate of Destruction	50 years				
GS50-19-01 p. 51	Asset Mgmt: Enviro. Mgmt.	Physical Exam. Reports for Employees Exposed to Hazardous Materials	50 years	Agency Mgmt: Risk Mgmt.	GS-A/I-HAZ p. 30	Accidents/Incidents (Hazardous Materials) – Human Exposure	Retain for 100 years after individual's date of birth or 30 years after individual's date of death, whichever is sooner then destroy.
GS50-06E-05 p. 59	Asset Mgmt: Leasing/ Usage	Equipment and Vehicle Leases	Termination of lease plus 6 yrs	Agency Mgmt: Contracts and Agreements	GS50-01-11 p. 14	Contracts and Agreements – General	Retain for 6 years after completion of transaction or termination/expiration of instrument then destroy.
GS51-07-12 p. 60		Facility Use Authorization Permit	6 years				
GS55-05A-07 p. 60		Leases	Term. plus 6 years				
GS50-03B-07 p. 91	Financial Mgmt: Banking	Designation of Bank or other Depository for Agency Funds	6 years after withdrawal of designation				



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GS55-05A-03 p. 67	Asset Mgmt: Purchasing /Acquisitions	Easements	Reassignment or vacation of easement plus 10 years	Agency Mgmt: Contracts/ Agreements	GS-CAP (Easements <u>received by</u> the agency) p. 15	Contracts and Agreements – Capital Assets (Non-Real Property)	Retain for 6 years after completion of transaction or termination/expiration of instrument <i>and</i> 6 years after disposition of asset (if asset owned by agency) <i>then</i> destroy.
					GS-REAL (Easements <u>granted by</u> the agency) p. 15	Contracts and Agreements – Real Property	Retain for 10 years after disposition of asset and 10 years after completion of transaction or termination/ expiration of instrument then transfer to WSA for appraisal and selective retention.
GS50-08A-03 p. 79	Financial Mgmt: Accounting	Damage and Loss Claims Purchasing	Keep until completion of SAO exam plus 6 years if there is a monetary settlement	Financial Mgmt: Accounting	GS50-03B-14 p. 65	Financial Disputes and Collections – General	Retain for 6 years after matter resolved then destroy.
GS50-03B-12 p. 81		Non-Sufficient Funds (NSF) Checks/Warrants	Settlement or closure plus 6 years				
GS59-01-01 p. 83	HR Mgmt: Benefits	Commute Trip Reduction Administration (CTRA) Annual Progress Report	State DOT CTR Task Force holds primary copy. DWOS. Potential archival value.	HR Mgmt: Reporting	GS50-04C-05 p. 109	Reporting – Human Resources	Retain for 4 years after submitted to regulatory agency then destroy.



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GS50-03B-13 p. 83	Financial Mgmt: Accounting	Stop Payment Reports	Calendar year plus 6 years	Financial Mgmt: Banking	GS-BANK p. 72	Banking – Accounts and Transactions	Retain for 6 years after end of fiscal year then destroy.
GS50-03B-01 p. 90		Bank Account Reconciliations	3 years				
GS50-03B-02 p. 90		Bank Deposit Records	6 years				
GS50-03B-03 p. 90		Bank Statements	6 years				
GS50-03B-04 p. 90		Cancelled/Substitute Checks/Warrants	6 years				
GS50-03A-19 p. 90		Investment Accounts Supporting Documents and Reports	3 years				
GS50-03A-01 p. 91	Financial Mgmt: Accounting	Subsidiary Ledgers	6 years	Financial Mgmt: Accounting	GS50-03A-15 p. 68	General and Subsidiary Ledgers	Retain for 6 years after end of fiscal year or 6 years after final bond payment or 6 years after completion of levy/grant project or terms of grant agreement, <i>whichever is later then</i> Destroy. (ESSENTIAL)
GS50-03C-09 p. 97	Financial Mgmt: Grants	Grant Project Reports	3 years from date of submission of the final expenditure report or retain for period required by grant or program. Potential Archival Value.	Financial Mgmt: Reporting	GS50-03C-02 p. 84	Bond, Grant and Levy Project Reports	Retain for 4 years after submission of final report or for period required by grant/program, <i>whichever is later then</i> transfer to WSA for appraisal and selective retention.
GS50-03C-10 p. 98		Grants – Statistical Documentation					



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GS50-04B-48 p. 107	HR Mgmt: Misconduct/Discipline/Grievances	Employee Misconduct Reports	Termination of employment plus 6 years	HR Mgmt: Personnel	GS50-04B-06 p. 105	Personnel File	Termination plus 6 years.
GS50-06C-29 p. 130	HR Mgmt: Occupational Health & Safety	Noise Exposure Reports – Individual Employees	2 years	HR Mgmt: Reporting	GS50-04C-05 p. 109	Reporting – Human Resources	Retain for 4 years after submitted to regulatory agency then destroy.
GS51-05D-04 p. 130	HR Mgmt: Occupational Health & Safety	Reference and Information Materials Received from Safety Agencies	DWOS	Records with Minimal Retention Value	GS50-02-03 p. 123	General Information – External	Retain until no longer needed for agency business.
GS51-05D-12 Ver. 2.1 p. 131	HR Mgmt: Occupational Health & Safety	Safety Training Files – General	6 years	Agency Mgmt: Training	GS-CERT p. 35	Agency-Provided Training – Certificated, Hours/Credits Earned, or Mandatory	Retain for 6 years after training provided then destroy.
GS50-04B-50 p. 133	HR Mgmt: Performance Mgmt.	Supervisor's Employee Performance Background Files	DWOS	HR Mgmt: Performance Mgmt.	GS50-04B-31 p. 103	Performance Evaluation Background File Supervisor	Destroy when obsolete or superseded.
GS50-19-17 Ver. 2.1 p. 142	HR Mgmt: Staff Dev/Training	Hazardous Materials Training Programs	Date of training plus 5 years	Agency Mgmt: Training	GS-CERT p. 35	Agency-Provided Training – Certificated, Hours/Credits Earned, or Mandatory	Retain for 6 years after training provided then destroy.
GS50-04G-03 Ver. 2.1 p. 142	HR Mgmt: Staff Dev/Training	Training Availability Announcements/Notices	DWOS	Agency Mgmt: Training	GS-REGISTER p. 34	Agency-Provided Training – Arrangements	Retain until no longer needed for agency business then destroy.